



台灣積體電路製造股份有限公司  
Taiwan Semiconductor Manufacturing Company, Ltd.

TSMC Property

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## **TSMC's Supplier Code of Conduct**

(Version 1.3)

TSMC is committed to ensuring that working conditions in its supply chains are safe, that workers are treated with respect and dignity, and that business operations are environmentally responsible and conducted ethically. To this end, TSMC established this Supplier Code of Conduct ("Code") and requires our suppliers to operate in accordance with the principles outlined in this Code and in full compliance with the laws, rules and regulations of the countries in which they operate. In addition, TSMC also expects our suppliers to hold their suppliers, contractors, and service providers to the standards defined in this Code.

TSMC will assess its suppliers' compliance with this Code when making purchasing decisions. It is our intention to collaborate closely with our suppliers to drive continuous improvement through communication, audits, and follow-up assessments. However, failure to comply with this Code or cooperate with our auditors may result in termination of the business relationship.

The provisions in this Code are derived primarily from the Electronic Industry Citizenship Coalition (EICC) Code of Conduct and are in alignment with the UN Guiding Principles on Business and Human Rights, as well as key international human rights standards including the ILO Declaration on Fundamental Principles and Rights at Work and the UN Universal Declaration of Human Rights.

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 acceptable system to manage conformity to this Code.

## **A. LABOR**

Suppliers are 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 labor standards are:

### **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 the health or safety of young workers, including night shifts and overtime. Supplier 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. Supplier 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.

If any child labor is found through an external audit or self-review, Supplier must immediately remove the worker from all work and terminate the employment relationship while ensuring he or

she is physically safe and free from threat of retaliation from anyone at the facility. Subsequently, Supplier must notify TSMC and implement a remediation program that funds the worker's safe return home. Supplier also has to fully finance the worker's education at a school chosen by the worker and his or her family, continue to pay the worker's wages at a rate no less than the applicable minimum wage, and offer the worker a job when he or she reaches the legal working age.

### **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**

Suppliers 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, suppliers 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.

## **B. HEALTH and SAFETY**

Suppliers recognize that in addition to minimizing the incidence of work-related injury and illness, a safe and healthy work environment enhances the quality of products and services, consistency of production and worker retention and morale. Suppliers also recognize that ongoing worker input and education is essential to identifying and solving health and safety issues in the workplace. Recognized management systems such as OHSAS 18001 and ILO Guidelines on Occupational Safety and Health were used as references in preparing the Code and may be a useful source of additional information.

The health and safety standards are:

### **1) Occupational Safety**

Worker exposure to potential safety hazards (e.g., electrical and other energy sources, fire, vehicles, hazardous gas/chemicals, 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, hazardous gas/chemical detection and emergency shut-off systems, 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 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 heat and ventilation, and reasonable personal space along with reasonable entry and exit privileges.

#### **8) Health and Safety Communication**

Supplier 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.

## **C. ENVIRONMENTAL**

Suppliers recognize 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 and all local environmental protection laws must be followed. 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.

For more detailed expectations on TSMC's efforts to build a green and sustainable supply chain, please review the Code of Green Supply Chain.

The environmental standards include:

### **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) Wastewater and Solid Waste**

Supplier shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous). Wastewater generated from operations, industrial processes and sanitation facilities are to be characterized, monitored, controlled and treated as required prior to discharge or disposal. In addition, measures should be implemented to reduce generation of wastewater. Supplier shall conduct routine monitoring of the performance of its wastewater treatment systems.

### **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. Supplier shall conduct routine monitoring of the performance of its air emission control systems.

**6) Materials Restrictions**

Suppliers 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) Storm Water Management**

Supplier shall implement a systematic approach to prevent contamination of storm water runoff. Supplier shall prevent illegal discharges and spills from entering storm drains.

**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. Suppliers are to look for cost-effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.



## **D. ETHICS**

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

### **1) Business Integrity**

The highest standards of integrity are to be upheld in all business interactions. Suppliers 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 Supplier'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 know-how 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. Suppliers should have a communicated process for their personnel to be able to raise any concerns without fear of retaliation.

**7) Responsible Sourcing of Minerals**

Source tin, tungsten, tantalum and gold (“conflict minerals”) used for products sold to TSMC from sources that have been designated as conflict-free by a recognized industry group, such as the Conflict-Free Smelter Program endorsed by the EICC. Suppliers 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. Suppliers shall exercise due diligence on the source and chain of custody of these minerals and make their due diligence measures available to TSMC and its other customers in a timely manner upon request. For more information on TSMC’s commitment to responsible sourcing of materials, please review TSMC’s Sourcing Conflict-Free Materials explanation.

**8) Privacy**

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

**9) Avoid Conflicts of Interest**

Conflicts of interest, such as situations where a TSMC employee or a close relative (parent, child, spouse or sibling) is a significant investor or shareholder in your company (as non-publicly traded stock), should be avoided to prevent misconduct. Excessive or overly-frequent socializing with your TSMC business contacts may also create a conflict of interest, or the appearance of a conflict of interest. Social contact must be within accepted cultural business norms, and relationships that become conflicts of interest must be reported. If a potential conflict is discovered, you should report such incident immediately to TSMC and take corrective actions to ensure that no inappropriate actions result from the conflict and relationships that become conflicts of interest must be reported and suspended or resolved.

**10) Direct Designation of Subcontractors or Tier-2 Suppliers**

If you receive a request from a TSMC employee to procure from or subcontract from a specific third party, please report it immediately to TSMC via

<http://www.tsmc.com/EthicsReportSrv/english/index.html> to avoid any misconduct.

**11) Performing Services as Authorized**

Passing on obligations under a contract or purchase order for products or services to another party, that TSMC expects you to perform, or providing products or services without a properly executed

purchase order, supply contract or service contract is prohibited.

## **12) Shipping and Transportation**

Know and follow all laws related to the shipping, handling and transportation of products to or on behalf of TSMC. This includes source country export and customs laws, destination country import and customs laws, paying all necessary duties and taxes and following local transportation laws. Procedures and training will be provided to employees and contracted service providers to ensure safe handling of materials to, from and at TSMC.

## **E. MANAGEMENT SYSTEM**

Suppliers shall adopt or establish a management system whose scope is related to the content of this Code. The management system shall be designed to ensure: (a) compliance with applicable laws, regulations and customer requirements related to the participant's operations and products; (b) conformance with this Code; and (c) identification and mitigation of operational risks related to this Code. It should also facilitate continual improvement.

The management system should contain the following elements:

### **1) Company Commitment**

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.

### **2) Management Accountability and Responsibility**

The 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) 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 Supplier'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 Supplier's social and environmental performance, including a periodic assessment of Supplier's performance in achieving those objectives.

### **6) Training**

Programs for training managers and workers to implement Supplier'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 Supplier'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.

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## 台積電供應商行為準則

(版本別：1.3)

為確保本公司供應鏈工作環境的安全、員工受到尊重並具有尊嚴、商業營運促進環保並遵守道德操守，台積電制定了本供應商行為準則（“準則”）。台積電要求供應商遵守本準則，同時遵守其經營所在國與地區的法律和法規。台積電也鼓勵供應商要求其下游供應商、承包商和服務提供商認同並採用本準則。

供應商對本準則的遵守情況將是台積電在做出購買決策時的考量之一。台積電期望透過與供應商的密切合作、溝通、稽核和後續評估以推動持續性的改進。不遵守本準則或不願意與本公司稽核人員合作的供應商可能會導致與台積電業務關係的終止。

本準則中各項規定乃是以「電子公民行動聯盟（EICC）行為準則」為藍本，並參照「聯合國企業與人權指導原則」（the UN Guiding Principles on Business and Human Rights）及其他國際間普遍採用之人權規章包括「國際勞工組織工作基本原則與權利宣言」（ILO Declaration on Fundamental Principles and Rights at Work）及「世界人權宣言」（the UN Universal Declaration of Human Rights）所訂定。

本準則由五個部分組成。A、B、C 部分分別概述勞工、健康與安全，以及環境的標準。D 部分提供有關商業道德的標準；E 部分概述能夠貫徹本準則的合宜管理體系所需的要素。

## A. 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，並尊重他們。這適用於所有勞工，包括臨時工、移民工、學生、合約勞工、直接僱員以及任何其他類型的勞工。

勞工標準：

### 1) 自由選擇職業

禁止使用強逼、擔保（包括抵債）或用契約束縛的勞工、非自願的監獄勞工、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勞工或取得服務。除了禁止對勞工進出入公司工作場所作出不合理限制外，也不應無理地約束勞工在工作場所內走動的自由。作為招聘程序中的必要部份，必須在勞工離開原本的國家前，為他們提供用他們母語書寫的僱傭協議，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，勞工擁有隨時自由離職或終止僱傭關係的權利。僱主或中介人不得扣留或以其他方式毀壞、隱藏、沒收或拒絕僱員取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，除非法律要求僱主持有該等證明。僱主或中介人不得要求勞工就其僱傭繳付招聘費用或其他相關費用。若發現勞工已支付任何該等費用，該等須償還給勞工。

### 2) 青年勞工

不得在任何製造工序中使用童工。「童工」指僱傭任何未滿 15 歲、或未達強迫教育年齡、或該國家/地區最低就業年齡的人士（三項中取其指定年齡最大的一項）。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 歲的勞工（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。供應商應當透過適當地保管學生記錄、嚴格審核教育合作夥伴和按照適用的法律法規保障學生的權利，從而確保對學生工的管理得當。供應商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管，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。

如果通過外部稽核或自我檢視發現使用任何童工，供應商必須立即讓該勞工離開工作崗位和中止僱傭關係，同時確保該勞工的人身安全以及不會遭到廠區任何人的報復。之後，供應商必須通知台積電，並落實童工補救方案資助該勞工安全返家。供應商也必須全額補助該勞工的教育費用，前往他們自己或家人所選擇的學校就讀，且須以不低於最低工資的標準持續支付其薪資，並在該勞工達到法定工作年齡時提供工作。

### 3) 工時

根據有關的商業實踐研究，生產力降低、職員流動率上升以及受傷和患病情況的增多與勞工的疲勞度有顯著的關連。因此，一週的工作時間不應超過當地法律規定的最大限度。此外，每週的工作時數不應超過 60 小時（包括加班），緊急或特殊情況除外。每週七天應當允許勞工至少休息一天。

### 4) 工資與福利

支付給勞工的工資應當符合所有相關的薪酬法令，包括有關最低工資、超時加班和法定福利的法令。根據當地法律的規例，勞工的加班工資應高於常規時薪水平。禁止以扣除工資作為紀律處分的手段。在每個支薪週期，應及時為勞工提供簡明的工資單據，內含充足的資料證實支付給勞工的薪酬準確無誤。必須按照當地法律聘用臨時工、派遣員和外包員工。

### 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

供應商應承諾員工免受騷擾以及非法歧視。公司不得因人種、膚色、年齡、性別、性傾向、性別認同及表達、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，供應商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。



## B. 健康與安全

供應商應意識到除了盡量減少與工作相關的傷病發生率外，安全、健康的工作環境有助提高產品和服務的質素、生產的穩定性以及員工的忠誠度和士氣。供應商也應意識到持續地在員工身上投放資源和進行教育是辨識和解決工作場所內健康與安全問題的關鍵。

安全與健康標準：

### 1) 職業安全

應透過適當的設計、工程和行政管制、防護保養、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、危害氣體/化學品、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、危害氣體/化學品偵測和緊急關閉裝置、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。

### 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。供應商或勞工中介人提供的員工宿舍應當保持乾淨、安全，並提供適當的緊急出口、洗浴熱水、充足的供暖和通風設備以及適當且出入方便的私人空間。

#### **8) 健康與安全信息**

供應商應當為職工提供以他們母語進行的職業健康和安全教育，並在工作場所的顯眼處張貼健康與安全相關資料。

## C. 環境

供應商應認知到環境保護責任是生產世界級產品不可或缺的一部分。在製造作業中，供應商應在保護公眾健康與安全的同時將對社區、環境和自然資源造成的不良影響降到最低，並確實遵守所有當地環保法規。本準則撰擬時參考了公認的管理系統，如ISO 14001和生態管理與審核系統（EMAS），這些都是具有參考價值的額外資訊來源。

關於本公司對於打造綠色永續供應鏈的努力與期待，請參考「綠色供應鏈」(Code of Green Supply Chain)以獲得詳細資訊。

環境標準：

### 1) 環境許可和報告

應獲取所有必需的環境許可證（如排放監控）、批准和登記文件，亦要對之進行維護並時常更新，以及遵守許可證的操作和報告要求。

### 2) 預防污染和節約資源

應在源頭上或透過實踐（如改良生產、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) 污水及固體廢物

供應商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）。在排放或棄置營運、工業程序以及衛生設施所產生的污水前，應當按照要求對其進行分類、監控、控制和處理。此外，應當採取措施減少污水的產生。供應商也應當對污水處理系統的性能進行例行監察。

### 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。供應商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

供應商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) 雨水管理**

供應商應當實施系統性的措施來預防雨水徑流受到污染。供應商應當預防非法排放或洩漏物進入雨水渠。

#### **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。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。

## D. 道德規範

為履行社會責任並在市場上取得成功，供應商及其代理商必須謹守最高的道德標準，包括：

### 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。參與者應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。應推行監控和強制執程序以確保符合反腐敗法的要求。

### 2) 無不正當收益

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

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。不得偽造記錄或虛報供應鏈的狀況或慣例。

### 4) 知識產權

應當尊重知識產權；須以保護知識產權的方法傳遞技術和生產知識；並必須保護客戶的資料。

### 5) 公平交易、廣告和競爭

應謹守公平交易、廣告和競爭標準。必須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，供應商應當制定程序來保護供應商和員工檢舉者，並確保其身份的機密性和匿名性。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。

### 7) 負責任地採購礦物

供應商提供給本公司的產品當中所含之金、鈹、錫、鎢，皆應來自於業界公認具權威性組織（例如EICC成員所成立的Conflict-Free Smelter Program）所認證之供應非衝突金屬的冶煉廠。供應商應制定政策以合理確保其產品中所含有之金、鈹、錫、鎢不會直接或間接資助剛果民主共和國及其周邊國家境內嚴重侵犯人權的武裝組織。供應商應對其供應鏈內這些礦產來源和產銷鏈進行盡職調查，並於本公司或本公司

客戶要求時立即提供其進行盡職調查的相關證據與所取得之資訊。關於本公司對於不使用衝突礦產的聲明，請參考本公司網站的說明。

#### 8) 隱私

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。供應商應當在收集、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。

#### 9) 避免利益衝突

供應商與本公司之間的商業往來，應避免所任何可能的利益衝突。可能的利益衝突情形包括（但不限於）本公司內部員工或其近親（父母、子女、配偶或兄弟姊妹）在供應商任職，或對供應商（非公開發行公司）有重要投資利益。供應商與本公司對口人員不必要或過度頻繁的社交往來也可能構成利益衝突的疑慮或外觀。所以供應商與本公司人員的任何接觸必須謹守一般商業往來的分際，且一旦有利益衝突的情形必須立刻報告本公司。供應商若有發現任何潛在的利益衝突，必須立即通報台積電，並採取適當措施以防止因此所可能導致的不當行為。

#### 10) 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。故供應商若接到類似要求，應立即透過<http://www.tsmc.com/EthicsReportSrv/chinese/index.html>通報本公司。

#### 11) 謹守合約規定

對於本公司期待供應商親自履約（包括合約或採購單）的事項，非經本公司同意，供應商不得轉包或令第三方代為履行。供應商不得在未經與本公司簽訂有效之合約或採購單的情形下提供任何產品或服務予本公司。

#### 12) 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。供應商應向其員工和外包商提供運作程序及教育訓練以確保他們對前述法規的遵循。

## **E. 管理體系**

供應商應採用或建立範圍與本準則內容相關的管理體系。在設計該管理體系時，應確保：（a）符合與供應商營運和產品相關的適用法律法規及客戶要求；（b）符合本準則；以及（c）識別並減輕與本準則有關的經營風險。管理體系也應當推動持續改進。

該管理體系應包含以下要素：

### **1) 公司的承諾**

企業的社會及環境責任政策聲明應確定供應商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**

供應商應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**

制定程序識別與供應商經營相關的守法、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。

### **5) 改進目標**

應制定書面績效目標、指標和實施計劃來提高供應商的社會和環境責任績效，包括對供應商為達成這些目標所取得的成效進行定期審核。

### **6) 培訓**

應為管理層及員工制定培訓計劃，從而實施供應商的政策、程序及改進目標，同時滿足適用之法律法規的要求。

### **7) 溝通**

制定程序將供應商的政策、實踐、預期和績效清晰準確地傳達給員工、供應商和客戶。

**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，同時應保障隱私的機密性。

**12) 供應商的責任**

制定程序來將本準則的要求傳達給供應商，並監管供應商對本準則的遵行情況。

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