研華股份有限公司

品質與資訊安全事件舉報處理準則

Advantech Co., Ltd.

Quality and Information Security Incident Reporting Guidelines

2019/6/11

第一條　訂定目的及適用範圍
Section 1 Setting purpose and scope of application

因應重大品質緊急事件反映效率與優化決策速度之需求，建立跨組織決策小組有其必要性。研華因此於 2018 年 2 月起籌備成立品質事件應變小組 (AQIRT)，目的對於各類型之危機與發生各階段，都能提出應採行之溝通策略並建立管理應變機制。

The necessity to establish an inter-organizational decision-making team is indispensable. In order that the efficiency and optimize the decision-making speed for major quality incidents, Advantech has therefore planed the Quality Incident Response Team (AQIRT) since February 2018 for organizing the rapid feedback strategies for the dedicated types of major quality cases in various stages in the life cycle. The process to propose the communication flow strategies and to build up the management response mechanisms.

第二條　設置舉報管道
Section 2 Set up reporting pipeline

凡符合品質或資訊安全之案件皆由申請需求單位(供應商及客戶皆適用)發送電子郵件至AQIRT@advantech.com 申請，由系統管理者進行案件受理與後續分派執行。

As long as the cases met the Quality or Information Security types, please send the email to the following email account (Applicable to all vendors and customers).
AQIRT@advantech.com
The case will be handled by the AQIRT system administrator and to build up the core team to follow up the status tracking.

第三條　舉報將積極調查
Section 3 Report will actively investigate

- AQIRT 針對問題類型分類，定義最適合的 Core team 小組展開橫向矩陣組織處理小組。
  AQIRT to classify the problem types and assign suitable core team to cross-check in organization
- 由 AQIRT core team 深入建立以下對策評估：
  1. 影響程度與範圍評估 定義等級
  2. Solution/Workaround/Mitigation 方法
  3. 風險評估
  AQIRT core team to establish the strategy for the following:
  1. Assess impact & scope & risk classification.
  2. Solution/Workaround/Mitigation Options
  3. Risk evaluation

第四條　調查結果之處理
Section 4 Treatment of investigation results

- AQIRT core team 依照前一步驟各面向評估結果，建立 Disposal/Guarantee plan
  The AQIRT core team builds up the disposal guarantee plan.
- 根據 AQIRT core team 於上一個步驟的產出，由 AQIRT 進行資訊揭露的範圍定義並選定發布公告方式包含但不限於 Email/Security portal/Product status update notification/announcement 這四種方式
  AQIRT to define the scope of disclosure announcement which is based on the output in the previous step, the publish method included the Email/Security portal/Product status update notification/Announcement, but not limited to only these four ways.
- 由 AQIRT core team 蒐集各 Information flow 對問題反饋建議，並整理更新常見 FAQ 服務受影響單位
  AQIRT core team to collect feedback from each segment and release FAQ for the affected units.
- 由 AQIRT 建立預防性對策，並追蹤問題後續最新進度.
  Establish preventive measures and follow up on the latest progress by AQIRT.

第五條　調查文件應妥善保管
Section 5 Investigation documents should be kept in a safe place

專案調查人員應妥善保管調查過程取得之相關文件、調查過程之紀錄以及調查結果報告。
The project investigator shall properly keep the relevant documents obtained during the investigation process, the records of the investigation process and the report of the investigation results.

第六條 保密
Section 6 Confidentiality

對於舉報人身份及舉報內容，本公司將給予保密及保護，參與舉報案件調查之人員亦不得擅自洩漏。

Advantech will give confidentiality and protection to the identity of the reporter and the content of the report, and the personnel involved in the investigation of the reported case shall not disclose it without authorization.