

## ISO 9001 Documentation

### Ethics Policies

#### 1. Purpose

The purpose of this document is to define the requirements for establishing, communicating, implementing, and maintaining an Ethics Policy as an integral part of the organization's Quality Management System (QMS) in accordance with ISO 9001:2015. This policy ensures that all business activities, decisions, and interactions — both internal and external — are conducted with integrity, honesty, fairness, and respect for ethical principles, thereby supporting the organization's commitment to quality, trustworthiness, legal compliance, and sustainable stakeholder relationships.

While ISO 9001 does not prescribe a standalone ethics policy, ethical conduct is fundamental to achieving quality objectives, maintaining customer trust, ensuring compliance, and fostering a positive organizational culture — all of which are core requirements of ISO 9001.

#### 2. Scope

This Ethics Policy applies to:

- ❖ All employees, managers, executives, and workers (full-time, part-time, temporary, and contract-based) of the organization
- ❖ All departments, functions, and sites, including headquarters, manufacturing, sales, service, R&D, and support units
- ❖ All external stakeholders including suppliers, contractors, consultants, agents, distributors, and business partners who represent or interact with the organization
- ❖ All activities related to product realization, service delivery, procurement, sales, marketing, customer relations, and business decision-making

The policy covers ethical considerations in areas such as:

- ❖ Fair business practices
- ❖ Anti-corruption and anti-bribery
- ❖ Confidentiality and data privacy
- ❖ Conflict of interest

- ❖ Fair treatment of employees and stakeholders
- ❖ Compliance with laws and regulations
- ❖ Environmental and social responsibility (aligned with quality and sustainability goals)

### 3. References

- ❖ ISO 9001:2015 – Quality management systems – Requirements  
(Clauses: 4.1, 4.2, 5.1, 5.2, 7.3, 8.1, 8.4, 9.1.3, 10.2)
- ❖ ISO 26000 – Guidance on Social Responsibility (for broader ethical and societal guidance, optional but recommended)
- ❖ ISO 37001 – Anti-Bribery Management Systems
- ❖ Organization's Quality Manual
- ❖ Code of Conduct (if separately maintained)
- ❖ Legal and Regulatory Compliance Procedure
- ❖ Whistleblower / Speak-Up Policy
- ❖ Document Control Procedure
- ❖ Record Control Procedure

### 4. Definitions

| Term                 | Definition                                                                                                                                                     |
|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ethics Policy        | A formal statement of the organization's values, principles, and expected behaviors that guide ethical decision-making and conduct in all business activities. |
| Integrity            | Acting honestly, ethically, and consistently in all situations, even when no one is watching.                                                                  |
| Conflict of Interest | A situation in which an individual's personal interests could improperly influence their professional judgment or decisions.                                   |
| Bribery              | The offering, giving, receiving, or soliciting of something of value to influence the actions of an individual in a position of trust.                         |
| Whistleblowing       | The reporting of unethical, illegal, or improper conduct within the organization, typically through a protected and confidential channel.                      |
| Business Integrity   | The consistent alignment of business practices with ethical principles, legal requirements, and organizational values.                                         |

## 5. Ethics Policy Statement

At EastRising, we are committed to conducting all aspects of our business with the highest standards of ethics, integrity, and accountability. Our Ethics Policy reflects our core values and serves as a foundation for building trust with our customers, employees, suppliers, and the communities we serve. We recognize that ethical behavior is essential to achieving quality excellence, sustaining long-term success, and fulfilling our social and legal responsibilities.

We are committed to:

❖ Integrity and Honesty

Acting with honesty, transparency, and fairness in all business dealings, communications, and relationships — with customers, employees, suppliers, regulators, and other stakeholders.

❖ Compliance with Laws and Regulations

Complying with all applicable local, national, and international laws, regulations, and ethical standards in every country where we operate.

❖ Anti-Corruption and Anti-Bribery

Prohibiting all forms of bribery, corruption, kickbacks, facilitation payments, and unethical inducements in any form — whether direct or indirect.

❖ Confidentiality and Privacy

Protecting the confidentiality of proprietary information, customer data, employee records, and sensitive business information. Respecting the privacy rights of individuals in compliance with data protection laws.

❖ Fair Treatment and Non-Discrimination

Treating all individuals with dignity, respect, and fairness. Promoting diversity, equity, and inclusion, and prohibiting harassment, discrimination, or retaliation of any kind.

❖ Conflict of Interest

Identifying, disclosing, and appropriately managing any actual or potential conflicts of interest to ensure that business decisions are made objectively and in the best interest of the organization.

❖ Responsible Sourcing and Business Partnerships

Working only with suppliers, contractors, and partners who share our commitment to ethical practices, sustainability, and compliance with applicable laws.

❖ Environmental and Social Responsibility

Considering the ethical impact of our operations on society and the environment, and striving to make responsible decisions that contribute to sustainable development.

❖ Reporting and Accountability

Encouraging employees and stakeholders to raise concerns about unethical behavior through trusted and protected channels, and ensuring that all reports are investigated fairly and promptly.

❖ Leadership and Culture

Demonstrating ethical leadership at all levels of the organization. Managers and leaders are expected to model ethical behavior, promote this policy, and foster a culture of integrity.

## 6. Policy Development and Approval

The Ethics Policy shall be:

- ❖ Developed with input from Senior Management, Human Resources, Legal, Compliance, Quality Assurance, and Ethics or Sustainability functions
- ❖ Aligned with the organization's quality objectives, values, and strategic goals
- ❖ Based on an understanding of the context of the organization and stakeholder expectations (Clause 4.1 & 4.2 of ISO 9001:2015)
- ❖ Reviewed for consistency with risk-based thinking, legal compliance, and ethical risk areas (Clause 6.1)

- ❖ Approved by Top Management to ensure visible leadership and organizational commitment (Clause 5.1)

## 7. Key Ethical Principles and Expectations

The organization expects all personnel to adhere to the following ethical principles:

| Principle      | Description                                                              |
|----------------|--------------------------------------------------------------------------|
| Integrity      | Be honest in all professional and personal interactions.                 |
| Accountability | Take responsibility for your actions and decisions.                      |
| Respect        | Treat everyone with dignity, fairness, and courtesy.                     |
| Compliance     | Follow all applicable laws, regulations, and company policies.           |
| Transparency   | Communicate openly and avoid hidden agendas or misleading information.   |
| Fairness       | Avoid favoritism, discrimination, or unethical advantage.                |
| Responsibility | Consider the social, environmental, and economic impact of your actions. |

## 8. Communication, Training, and Awareness

The Ethics Policy is communicated to all employees via:

- ❖ Onboarding and orientation programs
- ❖ Employee handbooks
- ❖ Intranet postings and policy portals
- ❖ Regular ethics and compliance training
- ❖ Training is provided to ensure understanding of:
  - ❖ Ethical decision-making
  - ❖ Anti-corruption measures
  - ❖ Reporting mechanisms
  - ❖ Legal and regulatory obligations
- ❖ Managers are responsible for promoting ethical behavior and ensuring team awareness

## 9. Monitoring, Enforcement, and Reporting

- ❖ Allegations of unethical behavior are investigated promptly, fairly, and confidentially
- ❖ Violations of the Ethics Policy may result in disciplinary action, up to and including termination of employment or business relationships
- ❖ A Whistleblower Policy provides a safe and anonymous channel for reporting concerns
- ❖ The organization monitors compliance through:

- ✧ Internal audits
- ✧ Management reviews
- ✧ Employee feedback and surveys
- ✧ Incident reporting and trend analysis

#### 10. Integration with Quality Management System

The Ethics Policy is integrated into the QMS as follows:

- ❖ Clause 5.1 / 5.2 – Leadership demonstrates commitment to ethical behavior and communicates the policy
- ❖ Clause 4.1 / 4.2 – Ethical considerations are part of understanding the organizational context and stakeholder needs
- ❖ Clause 6.1 – Ethical risks are addressed as part of risk-based thinking
- ❖ Clause 7.3 – Employees are competent and aware of ethical expectations
- ❖ Clause 8.1 – Ethical behavior is embedded in operational controls and supplier relationships
- ❖ Clause 8.4 – Ethical criteria are applied in the selection of suppliers and partners
- ❖ Clause 9.1.3 – Ethical performance is monitored and reviewed
- ❖ Clause 10.2 – Ethical nonconformities are addressed through corrective actions

#### 11. Policy Review and Continuous Improvement

The Ethics Policy is reviewed:

- ❖ Annually or as needed (e.g., following regulatory changes, incidents, or audits)
- ❖ During management review meetings
- ❖ Feedback from employees, stakeholders, and audit findings is used to improve the policy and related controls
- ❖ Ethical performance is included in the organization's quality objectives and performance reviews

## 12. Compliance with ISO 9001:2015

This Ethics Policy supports compliance with the following clauses of ISO 9001:2015:

| Clause | Requirement Addressed                                                            |
|--------|----------------------------------------------------------------------------------|
| 4.1    | Understanding the organization and its context (ethical and stakeholder factors) |
| 4.2    | Understanding the needs and expectations of interested parties                   |
| 5.1    | Leadership and commitment (ethical leadership and culture)                       |
| 5.2    | Quality Policy (alignment with ethical values)                                   |
| 6.1    | Actions to address risks and opportunities (e.g., ethical risks)                 |
| 7.3    | Awareness (ethical behavior and compliance)                                      |
| 8.1    | Operational planning and control (ethical execution of processes)                |
| 8.4    | Control of externally provided products/services (ethical sourcing)              |
| 9.1.3  | Monitoring, measurement, analysis and evaluation (ethics performance)            |
| 10.2   | Nonconformity and corrective action (addressing ethical breaches)                |

## 13. Conclusion

An effective Ethics Policy is a cornerstone of a responsible, trustworthy, and quality-focused organization. By embedding ethical principles into the Quality Management System, the organization ensures that its operations are not only legally compliant and customer-focused, but also morally sound, socially responsible, and sustainable.

This policy fosters a culture of integrity, accountability, and transparency, protects the organization's reputation, builds long-term stakeholder trust, and supports the continuous improvement of quality and ethical performance in all areas of the business.

## 14. Revision History of This Document

| Rev No. | Date       | Revised By | Approved By | Description                                                 |
|---------|------------|------------|-------------|-------------------------------------------------------------|
| v1.0    | 2025-10-28 | John Wang  | Janice Lee  | Initial release of ISO 9001 Documentation - Ethics policies |

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