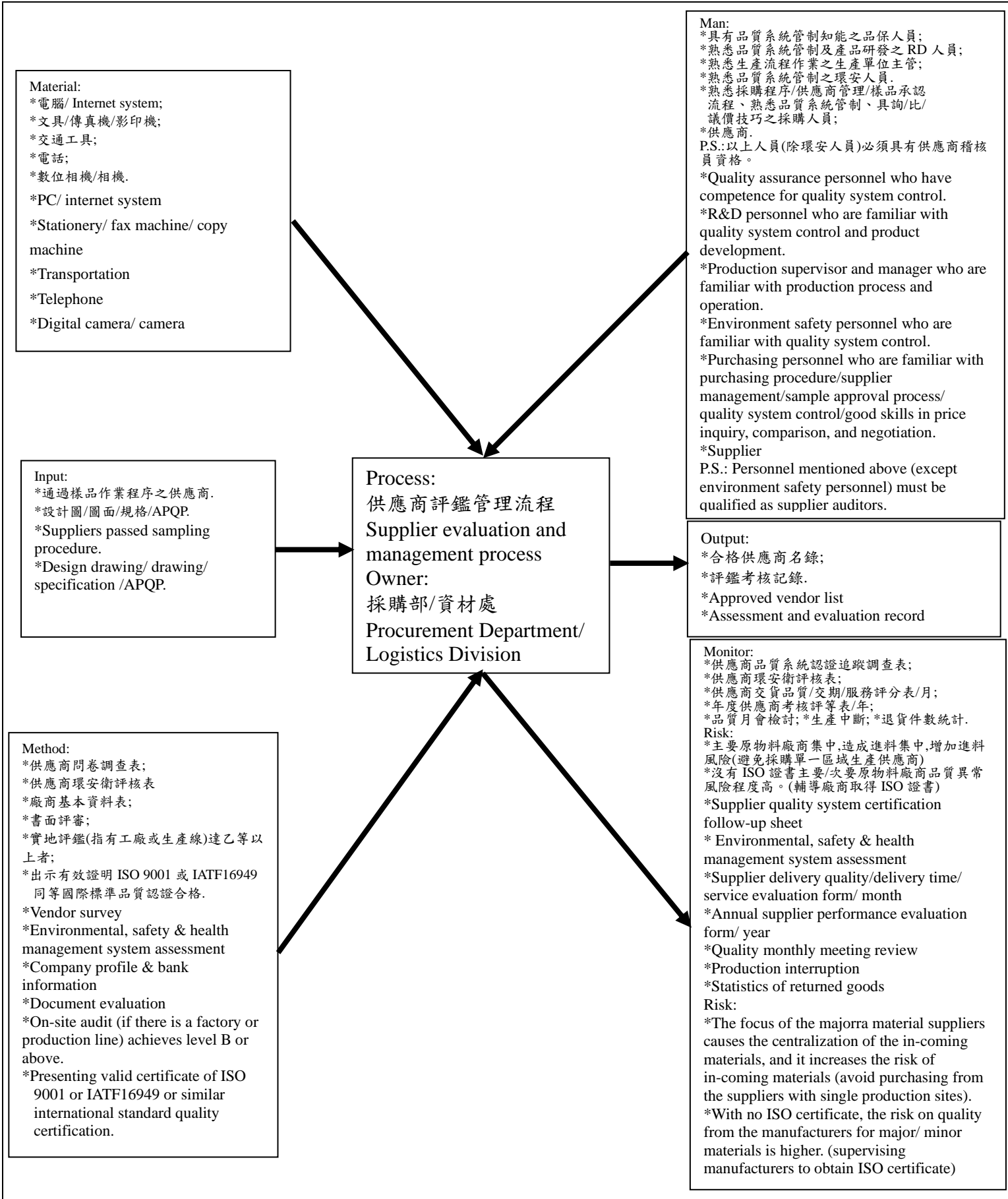




機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 2/42 Page: 2/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)





供應商評鑑管理流程(Supplier Evaluation and Management Process)

作業說明 Operation description	部門職掌 Department & Duty					表單憑證 Form required	權責部門 Accountable Department
	供應商 Supplier	採購部 Procurement Department	品保部 Quality Assurance Department	研發部 R&D Department	生產/環安 Production/environmental safety		
<p>一.合格供應商名錄內之廠商需依據下列任何一項情況認可其資格,審查結果應填入供應商問卷調查表,</p> <p>A)書面評審 B)實地評鑑</p> <p>評鑑合格之供應商須是財務健全者,商譽良好者.</p> <p>1. Manufacturers listed in the approved vendor list shall be approved their qualification based on any of the following situation. The result shall be filled in vendor survey.</p> <p>A) document evaluation B) On-site audit</p> <p>Suppliers who pass evaluation must be ones with sound financial situation and with good reputation.</p> <p>二.供應商資格選定: 供應商提供樣品經研發樣品承認後,由採購依樣品承認書內之供應商名單登錄合格供應商名錄.</p> <p>2. Selection of supplier qualification: After the sample provided by a supplier is approved by R&D, the purchasing shall record the supplier remarked in the sample approval form in the approved vendor list.</p> <p>三.供應商考核之執行: 1)每月由品保部將品質考核成績填入供應商交貨品質/交期/服務評分表後交與採購部; 2)採購部填入供應商之交期及服務考核成績,評定出當月考核總分及等級; 3)彙總結果回饋至品保部,讓其於當月品質月會中提出檢討;</p> <p>3. Implementation of supplier assessment: 1) Every month, quality assurance department shall fill the quality assessment scores into supplier delivery quality/ delivery time/ service evaluation form and forward it to purchasing section. 2) Procurement department is responsible for filling in the delivery and service evaluation score for the supplier and rates the total score and level of the assessment for the month. 3) The summary of the result shall be reported to the quality assurance department so that it can be addressed and discussed during the quality monthly meeting of the month.</p> <p>四.流程監控方式: 1)供應商品質系統認證追蹤調查表; 2)供應商交貨品質/交期/服務評分表/月; 3)年度供應商考核評等表/年; 4)品質月會檢討; 5)生產中斷; 6)退貨件數統計.</p> <p>4. Process monitoring method: 1)Supplier quality system certification follow-up form 2)Supplier delivery quality/delivery time/service evaluation form/month 3) Annual Audit Plan / year 4)Review and discussion at the quality monthly meeting 5)Production interruption 6)Statistics of returned goods</p>	<pre> graph TD A[書面審查 Document evaluation] --> B[實地評鑑 On-site evaluation] B --> C{是否合格 Is it qualified?} C -- 否 No --> D[不列入合格供應商名錄 It will not be listed as a qualified supplier.] C -- 是 Yes --> E[合格供應商名錄 Approved vendor list] E --> F[樣品供應 Supply a sample] F --> G[樣品承認合格 Sample approved] G --> H[下單採購 Place a purchase order] H --> I[物料供應 Supply material] I --> J[到貨驗收 Acceptance inspection] J --> K[每月品質考核 Monthly quality assessment] K --> L[每月交期服務考核 Monthly delivery time and service evaluation] </pre>					<p>供應商(問卷)調查表 Supply (questionnaire) survey sheet 供應商品質管理系統調查表 Supplier quality management system survey form 供應商環安衛生評估表 Supplier environment-safety-health evaluation form</p> <p>合格供應商名錄 Approved vendor list</p> <p>樣品承認書 Sample approval form</p> <p>採購單 Purchase order</p> <p>進料驗收流程 Process of in-coming material acceptance inspection</p> <p>供應商交貨品質/交期/服務評分表 Supplier delivery quality/delivery time/service evaluation form</p>	<p>採購/品保/研發/生產或環安等人員 Purchasing/quality assurance/R&D/production or environmental safety personnel</p> <p>供應商 Supplier</p> <p>採購 Procurement</p> <p>研發 R&D</p> <p>採購 Procurement</p> <p>供應商 Supplier</p> <p>品保 Quality Assurance</p> <p>品保/採購 Quality Assurance/Procurement</p>



供應商評鑑管理流程(Supplier Evaluation and Management Process)

作業說明 Operation description	部門職掌 Department & Duty					表單憑證 Form required	權責部門 Accountable Department
	供應商 Supplier	採購部 Procurement Department	品保部 Quality Assurance Department	研發部 R&D Department	生產/環安 Production/environmental safety		
<p>五.人員:</p> <p>1)具有品質系統管制知能之品保人員; 2)熟悉生產流程作業之生產單位主管; 3)熟悉品質系統管制及產品研發之 RD 人員; 4)熟悉品質系統管制之環安人員. 5) 熟悉採購程序/供應商管理/樣品承認 流程、熟悉品質系統管制、具詢/比/議價技巧之採購人員; 6) 供應商 以上人員(除環安人員)必須具有供應商稽核員資格。 5. Personnel: 1)Quality assurance personnel who have competence for quality system control 2) Production supervisor and manager who are familiar with production process and operation 3) RD personnel who are familiar with quality system control and product development 4) Purchasing personnel/ environmental safety personnel who are familiar with quality system control. 5) Purchasing personnel who are familiar with purchasing procedure/supplier management/sample approval/ process of quality system control/good skills in price inquiry, comparison, and negotiation. 6) Supplier Personnel mentioned above (except environment safety personnel) must be qualified as supplier auditors.</p> <p>六.供應商資格評量</p> <p>1)季評等為丁等,則取消其合格供應商(或合格原物料)資格。 2)由品保召集採購,研發,及生產相關部門召開會議討論再作成決議,其決議結果需留下記錄,填寫「不合格供應商處置單」(STQ-P1005-T008)。 6. Supplier qualification evaluation 1) Any supplier with quarterly assessment as level D will be cancelled its qualification of qualified supplier (or qualified material). 2) The final decision shall be done after quality assurance calls for purchasing, R&D, and production related department for a meeting. The result of the decision shall be kept a record and filled “Supplier Disqualification Form) (STQ-P1005-T008).</p>	<pre> graph TD Start[] --> MEF[逐月評分表 Monthly evaluation form] MEF --> REG[定期考核結果(丁等) Regular assessment result (level D)] MEF --> IRREG[不定期考核結果(重大品質 issue) Irregular assessment result (critical quality issue)] REG --> ME[會議 Meeting] IRREG --> ME ME --> MR[會議結論 Meeting resolution] </pre>					<p>供應商交貨品質/交期/服務 評分表 Supplier delivery quality/ delivery time/ service evaluation form</p> <p>不合格供應商處置單 Disqualified supplier handling sheet</p>	<p>品保/ 採購 Quality Assurance / Procurement</p>



機密等級 Security Level	限閱 Restricted
文件編號: Doc. No.:	STQ-P1005 STQ-P1005

版本: 35 Rev: 35
頁次: 5/42 Page: 5/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

1 目的 Purpose

藉由適切的供應商評估作業，而能審慎界定及選擇合格之供應商，並建立密切之工作關係與回饋制度，以確保所採購之原物料與成品、半成品和治工具符合品質保證及環安衛要求。

Through proper supplier evaluation, it is to define and select qualified suppliers carefully as well as to establish close working relationship and reward system in order to ensure the materials, finished products, semi-finished product, and fixture & tools purchased meet the requirements for quality assurance and environment-safety-health regulations.

2 範圍 Scope

2.1 本流程闡明所採購原物料與成品、半成品和治工具之供應商之選用、調查評鑑與持續評核等處理作業。

2.2 本流程適用於與供應商評估作業有關的部門與個人。

2.3 本流程適用且包含外包商評鑑管理皆屬之。

2.1 The process clearly describes the handing of selection, investigation evaluation and continuous assessment of suppliers who offer the materials, finished products, semi-finished product, and fixture & tools our company purchased.

2.2 The process is applicable to the department and individuals related to supplier evaluation operation.

2.3 The process is also applicable to and includes the evaluation and management of outsourced contractors.

3 名詞定義 Definition

M.R.B： Material Review Board 物料鑑審會。

主要/次要原物料:參照工程試作作業流程(STQ-P1012)。

合格供應商：提供主要/次要原物料之供應商。

一般供應商：非供應主要/次要原物料之供應商。

外包產品：包含所有委外加工之產品。

實驗室供應商：依據本公司實驗室採購管理辦法(LSC20)管理。

綠色供應商：符合環境管理系統構築之供應商。

M.R.B: Material Review Board.

Major/ minor material: It shall be referred to Engineering Pilot Run Process (STQ-P1012).

Qualified supplier: Suppliers who provide major/ minor material.

General supplier: Suppliers who provide non-major/non-minor material.

Outsourced product: It includes all of the products that are produced by subcontractors.

Lab supplier: It shall be managed according to Lab Purchasing Management Regulation (LSC20).

Green supplier: Suppliers who meet the structure of environmental management system.



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 6/42 Page: 6/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

4 權責 Accountability

- 4.1 採購負責組成評鑑小組執行供應商調查工作並保存記載以供查核用。
 - 4.2 由品保、採購以及環安負責供應商輔導之相關作業，以提高供應商之品質系統控制，促使本公司之所有供應商均能符合本公司推行 IATF16949 品質系統和環安衛管理系統之要求。
 - 4.3 品保負責原物料、成品、半成品和治工具之驗收檢驗與持續監督交貨品質與評分以供採購參考，以做為供應商交貨品質考核評等。
- 4.1 The purchasing is responsible for establishing an assessment team to implement supplier survey and keeping relevant records for future auditing.
 - 4.2 Quality assurance, purchasing, and environmental safety are in charge of supervising suppliers to enhance their quality system control as well as make sure all suppliers for our company meet the requirements of IATF16949 quality system and environment-safety-health management system promoted by our company.
 - 4.3 Quality assurance is responsible for the acceptance inspection of materials, finished products, semi-finished product, and fixture & tools as well as continuing monitoring of delivery quality and rating for the purchasing's reference in order to use it as the delivery quality assessment and evaluation of the supplier.

5 作業內容 Operation

5.1 供應商資格之選定 Supplier selection process

5.1.1 供應商選擇 Supplier selection

- A. 評估所選定供應商對於產品符合性及本公司不間斷供應產品給客戶的風險；
- B. 相關的品質與交貨績效；
- C. 供應商品質管理系統的評價；
- D. 跨功能的決策；以及
- E. 軟體開發能力的評鑑，適用時。

- A. An assessment of selected supplier's risk to product conformity and uninterrupted supply the product to GlobalWafers' customers.
- B. relevant quality and delivery performance;
- C. an evaluation of the suppliers' quality management system;
- D. multidisciplinary decision making, and
- E. An assessment of software development capabilities, if applicable.

5.1.2 其他的供應商選擇標準可以包括以下 Other supplier selection criteria that should be considered include the following

- 產品的業務量(絕對值和總業務量的百分比)；
- 財務穩健性；
- 採購的產品、材料或服務的複雜程度；



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 7/42 Page: 7/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- 所需技術(產品或流程)；
- 可用資源的適切性(例如：人員、基礎設施)；
- 設計開發能力(包括專案管理)；
- 製造能力；
- 變更管理流程；
- 營運持續規劃(例如：災害準備、應急計畫)；
- 物流管理；
- 客戶服務；
- 誠信經營評估風險等級。
- Volume of automotive business (absolute and as a percentage of total business);
- Financial stability;
- Purchased product, material or service complexity;
- Required technology (product or process);
- Adequacy of the available resources (for example: personnel, infrastructure)
- Design and development capabilities (including project management)
- Manufacturing capability
- Change management process
- Business continuity planning (such as disaster preparedness or contingency planning)
- Logistic management
- Customer service
- Ethical management evaluation risk level

5.1.3 合格供應商須符合誠信經營守則，無不誠信行為之紀錄，並根據下列任何一種情況認可其資格，審查結果應填入「供應商(問卷)調查表」(STQ-P1006-T004)。

Qualified suppliers shall comply with the code of ethical management without any behavior breaching good faith. The qualification shall be recognized according to any of the following situations, and the result shall be filled in “Vendor Survey” (STQ-P1006-T004).

5.1.3.1 書面評審 Document evaluation

- A. 主要原物料供應商需簽屬供應商品質要求管理辦法 GWC Supplier Quality Requirement (STQ-P2075)；
- B. 主/次要原物料供應商需簽屬供應商緊急情況通報與溝通 GWC Supplier emergency response communication(STQ-P1005-T011).
- C. 為出示有效證明 ISO 9001 或 IATF16949 等品質認證，其品質系統已經由獲承認之機構或同等的國際標準之要求進行審核並認證合格之國內、外供應商；
- D. 未經 ISO 9001 或 IATF16949 等品質認證之國外供應商須先自評「供應商



機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 8/42 Page: 8/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

品質管理系統調查表」(STQ-P1005-T004)，自評結果分數在 70(含)分以上者，經公司品保、RD 及採購的會議決議核可，始得核准為合格供應商。

- E. 評估其供應商在環安衛管理上之績效，供應商須先自評，依據環安衛管理系統採購管理標準作業程序(SIE-P1006)中「供應商環安衛評核表」(SIE-P1006-T005)，以作為評估之參考。
 - F. 屬程序生效前之合格供應商，透過『MRB 物料鑑審單』(STQ-P1015-T001)由相關部門審核後決定。
 - G. 綜合以上品質與環安衛評核項目以及「供應商(問卷)調查表」(STQ-P1006-T004)中(1)企業之國別/主要營運所在地、(2)資本額/員工人數、(3)企業所營業務、(4)月營業額、(4)認證、(5)信譽評分，分為 A(低)、B(中)、C(高)風險等級的供應商，並於定期年度稽核計畫中加權評分或者列入實地稽核。
- A. Suppliers for major materials must sign GlobalWafers Supplier Quality Requirement Critical Materials Suppliers (STQ-P2075).
 - B. Suppliers for major/ minor materials must sign GlobalWafers Supplier emergency response communication (STQ-P1005-T011).
 - C. Domestic and overseas suppliers must show valid quality certification, such as ISO 9001 or IATF16949, to prove their quality system has been approved and certified by the recognized institutions or equivalent international standards.
 - D. Overseas suppliers that have not been certified for their quality by ISO 9001 or IATF16949 must carry out self-evaluation with “Quality System Assessment Checklist” (STQ-P1005-T004) first. Suppliers with a score of self-evaluation above 70 (included) can be approved as qualified suppliers after the meeting resolution among quality assurance, R&D, and purchasing in the company.
 - E. Evaluate the supplier’s performance in environment-safety-health management; suppliers must fill out the “Environmental, Safety & Health Management System Assessment” (SIE-P1006-T005) for reference and according to the Purchasing Management Standard Operating Procedures for Environment-Safety-Health Management (SIE-P1006) to evaluate the performance.
 - F. Qualified suppliers who are classified as the ones before the effectiveness of the process shall be determined by the review and approval from the relevant departments through “Material Review Board (MRB)” (STQ-P1015-T001).
 - G. Suppliers will be divided into risk level of A (low), B (medium), and C (high) by integrated results of items for quality and environment-safety-health assessment above as well as the rating items in “Vendor Survey” (STQ-P1006-T004), including (1) country/ main business operation location of the enterprise, (2) amount of capital/ number of employee, (3) main business of the enterprise, (4) monthly turnover, (5) certification, and (6) credibility. The score will be weighted in the regular annual auditing planning or be listed to the on-site evaluation.

5.1.3.2 實地評鑑 On-site audit

- A. 主要原物料供應商需作實地稽核。



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 9/42 Page: 9/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- B. 未經 ISO9001 或 IATF16949 等品質認證之國內次要原物料供應商，須以實地評鑑方式來認可是否具有合格供應商資格。
- C. 委外代工廠商須以實地評鑑方式來認可是否具有合格供應商資格。
- D. 國外供應商實地稽核計畫，需簽呈總經理同意後執行。必要時，可由海外子公司協助代理執行國外供應商實地稽核計畫。
- A. On-site audit is required for major material suppliers.
- B. Domestic minor material suppliers that have not been certified by ISO9001 or IATF16949 must be recognized through on-site audit to approve the qualification of qualified suppliers.
- C. Outsourced contractors must be recognized through on-site audit to approve the qualification of qualified suppliers.
- D. On-site audit plan on overseas suppliers must be submitted to General Manager for approval before implementation. If necessary, the overseas subsidiary can assist the implementation of overseas supplier on-site audit plan.

5.1.4 合格供應商提供之樣品經研發樣品承認後，由採購依「樣品承認書」(STQ-P1004-T002)內之供應商名單登錄合格供應商名錄。

After the sample provided by a qualified supplier is approved by R&D, the purchasing shall record it in the approved vendor list according to the information of the supplier marked in “Sample Approval Form” (STQ-P1004-T002).

5.1.5 臨時授權(治工具不適用) Temporary authorization (not applicable to fixture and tools)

- A. 因交貨迫切、或採購困難，或其它特殊因素發生時，由採購單位提出報告，限定期限且由研發與品保會同授權核准，則允為該物料臨時供應商，但不得登入合格供應商名單。
- B. 對同業間廠家的原物料調貨，是指相同供應商或相同型號產品調貨，故而對此廠家不需供應商之評估，也不列入合格供應商。
- C. 以上二目應填寫『MRB 物料鑑審單』(STQ-P1015-T001)進行採購。
- A. When it happens to be urgent needs for delivery, difficulty in purchasing, or other special factors, the supplier can be granted to be the temporary supplier for the material after the purchasing submits a report with limited period of time and being authorized and approved by R&D and quality assurance jointly. However, it must not be recorded in the approved vendor list.
- B. The transfer request of material from manufacturers in the same trade means transfer from the same supplier or transfer of the same model. Therefore, the supplier does not need to be evaluated but it shall not be listed as the qualified supplier.
- C. “Material Review Board (MRB)” (STQ-P1015-T001) shall be filled out for above two subparagraphs to carry out purchasing.

5.1.6 一般供應商須填寫「廠商基本資料」表(國內廠商:附件一；國外廠商:附件二)，並經誠信經營評估，



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 10/42 Page: 10/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

符合誠信經營守則，無不誠信行為之記錄，且於電腦系統呈主管簽核認可其資格後，方可進行採購。

General suppliers must fill out “Company profile & Bank information” (domestic supplier: appendix 1; overseas supplier: appendix 2) and shall be evaluated their ethical management. The purchase order can only be placed after confirming meeting ethical management principle, without behavior breaching good faith, and the qualification has been signed and approved by the supervisor on the computer system.

5.1.7 外包的流程:須實施管控(包含其方式和程度)，用以確保外部提供的產品、流程和服務能符合內部相關部門及外部客戶的要求。

Process for outsourcing: Control (including method and level) must be implemented to ensure the product, process, and service provided externally meeting the requirements of relevant internal department and external customers.

5.1.8 法令法規要求 Legal requirement

應盡職調查，收集收貨地所在國、發送地所在國以及下游客戶指定送抵目的地所在國的法令要求，以確保所採購的產品、流程和服務能符合收貨地所在國、發送地所在國以及客戶指定送抵目的地所在國的適用法令。

當下游客戶對特定產品因應法令要求另訂有特殊管制，本公司應確保此等特殊管制有被實施和維護，包括監督供應商之落實。

Performing due diligence and collecting the legal information from the countries where the goods are collected, the countries where the deliveries are, and the destination that the downstream customers appoint to make sure the products, processes, and services purchased are able to meet the applicable legal laws at the countries where the goods are collected, the countries where the deliveries are, and the destination appointed by customers.

If the downstream customers have any specific control on specific product due to legal requirements, our company will ensure the specific control is implemented and maintained, including carrying out supplier supervision.

5.1.9 綠色供應商：要求供應商建置相關管理系統，採取降低環境負荷之措施，優先考慮與符合要求之供應商進行採購。依供應商環境管理系統建構之等級，認可其資格，審查結果應填入「供應商環安衛評核表」(SIE-P1006-T005)。

Green supplier: We requires our suppliers to establish relevant management system to take actions that reduce loads to the environment, and we will consider purchasing from the suppliers that meet requirements in priority. Suppliers will be recognized their qualification according to the levels established in Supplier Environment Management System, and the result shall be filled in “Environmental, Safety & Health Management System Assessment” (SIE-P1006-T005).

5.1.9.1 環境管理系統構築 Structure of environment management system

A. 供應商已取得 ISO14001 國際認證，建構環境管理系統，並對其維護和改善者。



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 11/42 Page: 11/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- B. 未取得 ISO14001 的認證，但已經取得其他第三方認證(ISO14005、EMAS、ISO50001 等)之供應商。
- C. 未取得 ISO14001 認證或其他第三方認證，惟依據環安衛管理系統採購管理標準作業程序 (SIE-P1006)中「供應商環安衛評核表」(SIE-P1006-T005)評估之標準，合格核准為綠色供應商者。
- A. Suppliers who have obtained the international certification of ISO14001, established environment management system, and carried out maintenance and improvement on the system.
- B. Suppliers who have not obtained the certification of ISO14001 but have obtained the certificate from other third-party certification (ISO14005, EMAS, ISO50001...etc.).
- C. Suppliers who have not obtain certification of ISO14001 or from other third parties but are approved to be green suppliers according to the evaluation standards specified in “Environmental, Safety & Health Management System Assessment” (SIE-P1006-T005) in Purchasing Management Standard Operating Procedure on Environment-Safety-Health Management System (SIE-P1006).

5.1.9.2 化學物質管理的貫徹：原物料之來源、及生產均遵守所涉國家或地區當地就化學物質之成分或使用相應的法令；例如，歐盟地區 RoHS 指令、REACH 法規(限制)、美國的有害物質限制法(TSCA)等。

Implementation of chemical substance management: The source of material and its production shall follow the legal requirements for the ingredients, or the use of chemical substance specified in the relevant countries or regions, such as Restriction of Hazardous Substances Directive (RoHS), Registration, Evaluation, Authorization and Restriction of Chemicals (REACH) (restriction), and Toxic Substances Control Act (TSCA) in USA.

5.1.9.3 溫室氣體排放量的削減 Reduction of greenhouse gas emission

- A. 供應商應向本公司推薦溫室氣體排放量削減效果較好的資材，並積極推動該資材的採用。
- B. 對 GHG 排放量進行把關與削減的措施(教育訓練、公司內部體制建立等)。
- A. Suppliers shall recommend materials with better effect on reduction of greenhouse gas emission to our company as well as actively promote the use of the material.
- B. Carrying out measures that can monitor and reduce GHG emission (educational training, establishment of company internal system...etc.).

5.2 合格供應商之評鑑 Qualified supplier assessment

5.2.1 書面評鑑等級：依廠商回填之「供應商(問卷)調查表」(STQ-P1006-T004)來評分供應商誠信經營等級。
Level of written appraisal: To rate supplier’s ethical management level according to the “Vendor Survey” (STQ-P1006-T004) submitted by the supplier.

評核項目 Item	量化標準 Quantitative Criteria	分數 Score	
(1) 企業之國別/主要營運所在地(10%) Country/ main business location of the enterprise (10%)	依評估時最新版本清廉印象指數(CPI)國家排名區分	第 1-30 名 Top 1-30	
	Based on the ranking of the country listed on latest version of Corruption Perceptions Index (CPI)	第 31-60 名 31st-60th	75
		第 61-100 名 61st-100th	50



供應商評鑑管理流程(Supplier Evaluation and Management Process)

		第 100 名之後 After 100th	0
(2) 資本額/員工人數(取較高者)(20%) Amount of capital/ number of employee (whichever is higher) (20%)	5,000 萬以上/1,000 人以上 Above 50 million dollars/1,000 people		100
	1,000 萬-5,000 萬/500-1,000 人 10 million -50 million dollars /500-1,000 people		90
	500-1,000 萬/100-500 人 5 million -10 million dollars/100-500 people		80
	500 萬以下/100 人以下 Below 5 million dollars /100 people		70
	非屬以下例示產業且風險依經驗法則為低者 Not within the scope of following industries and with lower risk according to rule of thumb		100
(3) 企業所營業務(5%) Main business of the enterprise (5%)	金融服務、科技、軟體、健康服務 Financial service, technology, software, health service		90
	製造業及代工廠、航太、國防、交通運輸、通訊業 Manufacturing industry and foundry, aerospace, national defense, transportation, communications		75
	提煉業(礦產、石油、氣體)、工程營造業 Refining industry (mineral products, petroleum, gas), engineering and construction industry		60
(4) 月營業額(5%) Monthly turnover (5%)	1,000 萬以上 Above 10 million dollars		100
	500-1,000 萬 5 million -10 million dollars		90
	100-500 萬 1 million -5 million dollars		80
	100 萬以下 Below 1 million dollars		70
(5) 認證(30%) Certification (30%)	同時有 IATF 16949、ISO 9001、ISO 14001、ISO 45001 Certified by IATF 16949, ISO 9001, ISO 14001, and ISO 45001		100
	同時有 ISO 9001、ISO 14001、ISO 45001 Certified by ISO 9001, ISO 14001, and ISO 45001		95
	同時有 ISO 9001、ISO 14001 Certified by ISO 9001 and ISO 14001		90
	具有 ISO 9001 Certified by ISO 9001		85
	其他能源、環保等相關認證(例如: ISO50001、ISO14064、ISO14046) Other energy or environmental protection related certification (such as, ISO50001, ISO14064 or ISO14046)		60
	無任何證書 No certificate		0
(6) 信譽(30%) Credibility (30%)	是否訂定誠信經營政策且對外宣示 Whether the policy of ethical management is established and announced publicly	是 Yes	100
		否 No	0
	是否曾涉賄賂或非法政治獻金不誠信行為 Whether been ever involved with bribery or unethical conduct like illegal political party funding	否 Never	100
		是 Yes	0
	是否曾涉智財侵權爭議且受不利結果(和解賠償、司法確定判決等) Whether been ever involved with a dispute of intellectual property rights and received unfavorable outcome (settlement compensation, confirmed judgment decision...etc.)	從未 Never	100
		是 Yes	0
是否曾涉競爭法爭議且受不利結果(行政處分、司法確定判決等) Whether been ever involved with a dispute of competition law and received unfavorable outcome (administrative disposition, confirmed	從未 Never	100	
	曾有 Yes	0	



機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 13/42 Page: 13/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

	judgment decision...etc.)		
	是否簽署本公司制式「供應商承諾書」 Whether the standard "Supplier Commitment" provided by our company is signed	是 Yes	100
		否 No	0

供應商按書面評鑑所得之總分分等如下:等級 Level based on the total score on the supplier document evaluation:	總分 Total score	備註 Note
A	90(含)分以上 Above 90 points (included)	交易低度風險供應商。 定期稽核總分加權 10%。 Suppliers with lower transaction risk. Weighted 10% on the regular total auditing score.
B	80(含)分以上 Above 80 points (included)	交易高度風險供應商： Suppliers with medium transaction risk: 1. 每年藉由「()年度供應商考核評等表」(STQ-P1005-T006)，查供應商交貨品質狀況之評等，觀察其營運中斷風險。 Check the quality situation of the delivery carried out by the supplier through "Year ____ Supplier Assessment Form" (STQ-P1005-T006) every year to observe the risk of the business interruption. 2. 定期稽核總分加權 5%。 Weighted 5% on the regular total auditing score.
C	80(含)分以下 Less than 80 points	交易高度風險供應商： Suppliers with high transaction risk: 1. 每月藉由「供應商交貨品質.交期.服務評分表」(STQ-P1005-T005)，查供應商交貨品質狀況。 Check the quality situation of the delivery carried out by the supplier through "Supplier Delivery Quality, Delivery Time, and Service Evaluation Form" (STQ-P1005-T005) every month. 2. 每年查經濟部商業司登記變更紀錄，觀察其營運中斷風險。 Check the change of registration recorded by Department of Commerce, MOEA every year to observe the risk of business interruption. 3. 列入年度實地稽核計畫。 List to annual on-site auditing plan.

5.2.2 實地評鑑人員 On-site audit personnel

由採購主辦，會同品保必要時會同研發、生產人員或環安人員等部門組成評鑑小組，執行實地評鑑調查工作，稽核人員(除環安人員)必須具有供應商稽核員資格。

供應商稽核員應全部能夠證實最少具備以下能力：

Organized by the purchasing with quality assurance and gather R&D, production, or environmental safety personnel when necessary to form an assessment team for the implementation of on-site audit work. Auditors (except environmental safety personnel) must be with the qualification of supplier auditors.

Quality management system auditors shall be able to demonstrate the following minimum competencies:



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 14/42 Page: 14/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- A. 汽車審核過程方法，包括基於風險的思維；
 - B. 適用的顧客特定和組織特定要求；
 - C. ISO 9001 和 IATF 16949 中適用的與審核範圍有關的要求；
 - D. 適用的待審核製造過程，包括 PFMEA 和控制計劃；
 - E. 與審核範圍有關的適用的核心工具要求；
 - F. 如何計劃審核、實施審核、編制審核報告關閉審核發現。
- A. Understanding of the Automotive process approach for auditing, including risk-based thinking;
 - B. Understanding of applicable customer-specific requirements and organization specific requirements;
 - C. Understanding of applicable ISO 9001 and IATF 16949 requirements related to the scope of the audit;
 - D. Understanding of applicable audit-pending manufacturing process, including PFMEA and control program
 - E. Understanding of applicable core tool requirements related to the scope of the audit;
 - F. Understanding how to plan, conduct, report, and close out audit findings.

5.2.3 實地評鑑內容 Content of on-site audit

評鑑人員依採購提供之「供應商品質管理系統調查表」(STQ-P1005-T004)項目，或「治工具供應商評鑑表」(STQ-P1005-T003)項目，對廠商之品管制度、技術水準、製造能力、機具設備、經營管理或環安措施進行評鑑調查，並將評鑑結果填入「供應商品質管理系統調查表」(STQ-P1005-T004)、「供應商實地評鑑報告表」(STQ-P1005-T009)、「供應商產品稽核報告」(STQ-P1005-T010)或「治工具供應商評鑑表」(STQ-P1005-T003)。

Evaluating personnel carry out assessment investigation on the manufacturer’s quality control system, technical level, manufacturing capability, device and equipment, business management or environmental safety measures based on the items on “Quality System Assessment Checklist” (STQ-P1005-T004) or items on “Fixture and Tool Supplier Evaluation Form” (STQ-P1005-T003) provided by the purchasing. The results shall be filled in “Quality System Assessment Checklist” (STQ-P1005-T004), “On-Site Audit Report” (STQ-P1005-T009), “Product Audit Report” (STQ-P1005-T010) or “Fixture and Tool Supplier Evaluation Form” (STQ-P1005-T003).

5.2.4 實地評鑑等級 Level of on-site audit

供應商按實地評鑑所得之總分等如下:等級 Level based on the total score obtained on the supplier on-site audit	總分 Total score	備註 Note
甲	80(含)分以上 Above 80 points (included)	列入合格供應商 Listed as a qualified supplier



機密等級 Security Level	限閱 Restricted
文件編號: Doc. No.:	STQ-P1005 STQ-P1005

版本: 35 Rev: 35
頁次: 15/42 Page: 15/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

乙	70(含)分以上 Above 70 points (included)	「供應商品質管理系統調查表」(STQ-P1005-T004)、「供應商實地評鑑報告表」(STQ-P1005-T009)中，屬不符合事項，需提出矯正措施並完成矯正措施後，列入合格供應商。 After submitting corrective action for the non-conforming items listed in “Quality System Assessment Checklist” (STQ-P1005-T004) and “On-Site Audit Report” (STQ-P1005-T009) and completing the corrective action, the supplier can be listed as a qualified supplier.
丙	未滿 70 分 Less than 70 points	不列入合格供應商 Will not be listed as a qualified supplier

5.3 新合格供應商之選用 Selection of new qualified supplier

5.3.1 供應商經書面評審合格或實施評鑑等級為乙等以上者，方能列入合格供應商，但評鑑等級為乙等者同時需針對提出之不符合事項完成矯正措施。

5.3.2 供應商實地評鑑列為丙等(含)以下之狀況，不予列入合格供應商內。

5.3.3 針對新合格供應商之選用，其首次評鑑之作業以實地評鑑為主要目標。

5.3.1 Suppliers that pass document evaluation or are rated above level B on the on-site audit can be listed as qualified suppliers. However, suppliers with evaluation level of level B must complete the corrective action submitted for non-conforming items at the same time.

5.3.2 Suppliers with the result of on-site audit below level C (included) will not be listed in the approved vendor list.

5.3.3 For the selection of new qualified suppliers, the on-site audit shall be the key objective for the operation of first-time evaluation.

5.4 既有合格供應商之持續評鑑與輔導 Continuous evaluation and supervision to the existing qualified suppliers

5.4.1 定期稽核 Regular auditing

對於主要/次要原物料的合格供應商，應在每年第四季召開會議，出席人員為品保、採購、研發與環保人員，一同定義出「年度供應商稽核計畫表」(STQ-P1005-T007)，執行每年一次的定期稽核；稽核計劃的展開與實施，須包括品質管理系統稽核、製程稽核及產品稽核，以確保供應商持續維持其供貨及服務品質。稽核方式可透過實地評鑑或是書面審查「供應商品質管理系統調查表」(STQ-P1005-T004)及「供應商環安衛評核表」(SIE-P1006-T005)等供應商自評來執行。針對稽核後之建議及不符合事項，供應商須於十個工作天內回覆不合格事項之矯正措施及改善報告為最終報告。

For the auditing of major/ minor material qualified suppliers, a meeting shall be held at the 4th quarter every year. The attending personnel shall include quality assurance, purchasing, R&D, and environmental protection personnel to define together the “Annual Audit Plan” (STQ-P1005-T007) in order to execute the regular auditing once every year. The development and implementation of the auditing plan must include quality management system audit, manufacturing process audit, and product audit in order to ensure suppliers



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 16/42 Page: 16/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

continuing maintaining their supply and service quality. The audit can be done through on-site audit or the document evaluation done by the suppliers themselves with “Quality System Assessment Checklist” (STQ-P1005-T004) and “Environmental, Safety & Health Management System Assessment” (SIE-P1006-T005). In terms of suggestions and non-conforming items after auditing, suppliers must respond the corrective actions for non-conforming items within 10 working days as well we submit an improvement report as the final report.

5.4.2 不定期稽核 Irregular auditing

主要/次要原物料連續三批進料檢驗遭品保判退、製程中連續三個批次良率為零且經研發判定可歸責於供應商、採購主要/次要原物料之新供應商未經 ISO9001 或 IATF16949 等品質認證者。稽核方式可透過實地評鑑或是書面審查「供應商品質管理系統調查表」(STQ-P1005-T004) 及「供應商環安衛評核表」(SIE-P1006-T005)供應商自評等來執行。針對稽核後之建議及不符合事項，由環球發出「廠商改善行動通知書」(STQ-P2026-T007)(下稱 VCAR)給供應商，供應商須於十個工作天內回覆其最終報告。

Consecutive three batches of in-coming major/ minor material inspection have been rejected by quality assurance, consecutive three batches of production during manufacturing process are with yield rate of zero, and these are determined by R&D that shall be attributable to the supplier or the new supplier for major/ minor material purchased has not been certified by ISO9001 or IATF16949. The audit can be done through on-site audit or document evaluation of “Quality System Assessment Checklist” (STQ-P1005-T004) and “Environmental, Safety & Health Management System Assessment” (SIE-P1006-T005) as the self-evaluation done by the supplier. In terms of suggestions and non-conforming items after audit, GlobalWafers will issue “Vendor Corrective Action Report - 8D” (STQ-P2026-T007) (hereinafter referred to as VCAR) to the supplier. The supplier must respond with the final report within 10 working days.

5.4.3 供應商若有下列條件者，可以免除其實地評鑑之作業，但未具 ISO9001 或 IATF16949 同等國際標準品質認證合格者，應要求並追蹤其儘速導入 ISO 9001 或 IATF16949 之品質系統控制。

If suppliers meet any of the following conditions, they can be waived from on-site audit operation. However, suppliers without ISO9001 or IATF16949 equivalent international standard quality certification shall be requested and followed up for the implementation of quality system control of ISO 9001 or IATF16949.

- A. 具 ISO 9001 或 IATF16949 同等國際標準品質認證合格者。
- B. 連續一年以上考核甲等者，但需追蹤其是否為 ISO 9001 或 IATF16949 同等國際標準品質認證合格者。
- C. 書面文件足證其繼續履行合約能力者，但需追蹤其是否為 ISO 9001 或 IATF16949 同等國際標準品質認證合格者。
 - A. With ISO 9001 or IATF16949 equivalent international standard quality certification.
 - B. With assessment result of level A for more than one consecutive year but have to be followed up for whether being certified by ISO 9001 or IATF16949 equivalent international standard quality certification.



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 17/42 Page: 17/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

C. Been proved the capability of continuous contract performance by the written documents but have to be followed up for whether being certified by ISO 9001 or IATF16949 equivalent international standard quality certification.

針對原物料供應商整個品質系統，是否經過 ISO 9001 或 IATF16949 同等國際標準品質認證合格者，應予以統計整理以利於追蹤調查作業之持續；調查作業之統計整理結果應登錄於「供應商品質系統認證追蹤調查表」(STQ-P1004-T003)。

Statistics of whether material suppliers' whole quality systems are certified by ISO 9001 or IATF16949 equivalent international standard quality certification shall be done in order to follow up with the continuous investigation. The result of investigation shall be recorded in "Supplier Quality System Certification Follow-up Form" (STQ-P1004-T003).

5.4.4 國外供應商若有發生下列情況者，應於當年度或次年度，由品保召集採購、研發、製造...等相關部門，組成稽核小組，安排國外供應商實地稽核計畫，並應簽呈總經理同意後執行。必要時，可由海外子公司協助代理執行國外供應商實地稽核計畫。

If any of the following situation happens on overseas suppliers, quality assurance shall call together purchasing, R&D, manufacturing to form an audit team on the current year or the year next to arrange an on-site audit plan on overseas suppliers. It shall be submitted to General Manager for approval before implementation. When necessary, our overseas subsidiary can assist to execute overseas supplier on-site auditing plan on behalf of our company.

- A. 供應商之製造地點變更、工廠地址變更、生產線位置變更。
- B. 供應商之公司組織發生重大變革，例如公司改組、合併、出售、經營團隊變更。
- C. 供應商之品質系統認證遭到取消且尚有未交貨完成之採購單時。
- D. 供應商因為自然災害、設備損壞等原因，而由供應商啟動其緊急應變計畫(BCP)並通知採購時。
- E. 供應商交貨之原物料產品發生重大品質異常，造成廠內投線損失不良率>=30%或不良批次>=5 批。
- F. 供應商交貨之原物料產品發生品質問題，經回覆 VCAR 與供應商改善對策導入之後，相同品質問題仍再發達三次(含)以上。
- G. 品保對於供應商回覆 VCAR 內容不滿意，經供應商修改 VCAR 內容之後仍無法接受。
- A. The supplier changes manufacturing location, factory address, or the location of production line.
- B. The supplier's company structure involves with critical changes, such as company reorganization, merging, being sold, or change of management team.
- C. The supplier's quality system certification is cancelled and there are still purchase orders that have not been delivered.
- D. Due to natural disaster or equipment damage, the supplier activates its business continuity plan (BCP) and



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 18/42 Page: 18/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

informs our purchasing.

- E. The product of material delivered by the supplier has critical quality abnormality and causes the defective rate in the production line $\geq 30\%$ or defective batch ≥ 5 batches.
- F. The material delivered by the supplier has quality problems, and the same issue continue happening for more than three times (included) after VCAR response and supplier corrective strategy implementation. Quality assurance is not satisfied with the VCAR response from the supplier, and the content is still not acceptable after the supplier revises VCAR.

5.4.5 達二年未交易之供應商者，合格供應商應重新執行第 5.1 項資格認證，一般供應商應重新確認廠商基本資料。

For suppliers that have not carried out transaction for at least two years, the qualification certification mentioned on Section 5.1 shall be re-executed if it is a qualified supplier. The general suppliers shall be reconfirmed their basic information.

5.4.6 針對書面審查供應商未於約定時間內提供「供應商品質管理系統調查表」(STQ-P1005-T004)完成自評者，採購應提交名單給品保，追蹤其進料之品質交期及服務，並列入明年度實地評鑑供應商或積極另尋其他供應商取代之。

If the supplier that is required to submit document evaluation of “Quality System Assessment Checklist” (STQ-P1005-T004) as self-evaluation fails to provide it in the time specified, the purchasing shall submit the list to quality assurance to follow up its quality of in-coming material supplied and its service as well as being listed as on-site auditing supplier next year or actively seek another supplier to replace it.

5.4.7 供應商監控 Monitoring suppliers

應評估供應商績效，用以確保外部提供的產品、流程、服務能符合內部及外部客戶的要求。至少下列的供應商績效指標應該被監控：

Supplier’s performance shall be evaluated to ensure conformity of externally provided products, process, and services to internal and external customer requirements.

At minimum, the following supplier performance indicators shall be monitored:

- A. 已交貨產品的要求符合性；品管對原物料及委外加工品等廠商之進料品質評分交採購彙總，每個月做成進料不良率統計。
- B. 在接收工廠的客戶中斷，包括出貨碼頭(出貨區)被扣留及停止交運；
- C. 交貨計畫的績效；針對交期異常、延誤之產品指派相關人員負責通知廠商研擬改善措施，並提出廠商交期延誤改善對策報告。

若客戶有提供，對供應商績效之監控亦應包含以下適當者：

- D. 有關品質或是交貨問題特殊情況的客戶通知，應先通知本公司業務再由其轉告客戶；若因供應商之因素造成客戶抱怨時，應納入客戶抱怨處理時效評比。



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 19/42 Page: 19/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- E. 客戶退貨、保固、市場行動及召回，係因供應商之因素造成時，應納入客戶抱怨件數及交貨不良率的評比。
- A. Delivered product conformity to requirements; the quality rating on the in-coming materials and outsourced processed products done by the quality control personnel shall be forwarded to the purchasing for summary. The statistics of defective rate of the material should be produced every month;
- B. Customer disruptions at the receiving plant, including yard holds and stop ships;
- C. Delivery schedule performance; assign relevant personnel to be in charge of informing the manufacturer about abnormal delivery time and delayed product to establish corrective action as well as submit improvement strategy and report for the delay of delivery time from the manufacturer.
If provided by the customer, the monitoring to the supplier shall also include the following when appropriate:
- D. For the customer notice about special situation related to quality or delivery issue, the business personnel in our company shall be informed first to forward the information to the customer. Any customer complaint caused by the supplier shall be included into the evaluation of handling effective for customer complaint.
- E. If customer returns, warranty, field actions, and recalls are caused by the supplier, it shall be included into the rating for number of customer complaint and delivery defective rate.

5.4.8 第二者稽核 Second-party audits

對供應商應實施第二者稽核，第二者稽核可以使用在以下流程

Second party audit shall be implemented on suppliers, and it can be used for the following process.

- A. 供應商風險評估 Supplier risk assessment ;
- B. 供應商監控 Supplier monitoring ;
- C. 供應商的品質管理系統發展 Supplier quality management system development ;
- D. 產品稽核 Product audits ;
- E. 流程稽核 Process audits 。

基於風險分析，上述稽核至少包括產品安全/法規要求、供應商績效以及品質管理系統驗證等級，依重要性排定稽核年度計畫；計畫內應包括需求、方式、頻率及範圍的準則；各相關人員應使用供應商評鑑表實施稽核，該供應商評鑑表須予以保留。

若第二者稽核的範圍是稽核供應商的品質管理系統，則應符合汽車業流程導向。

Based on a risk analysis, including product safety/regulatory requirements, performance of the supplier, and quality management system certification level, at a minimum, and shall document the criteria for determining the need, type, frequency, and scope of second-party audit.

The relevant personnel shall implement audit with supplier assessment form and retain records of the second-party audit reports.

If the scope of the second-party audit is to assess the supplier’s quality management system, then the approach shall be consistent with the automotive process approach.



機密等級 Security Level	限閱 Restricted
文件編號: Doc. No.:	STQ-P1005 STQ-P1005

版本: 35 Rev: 35
頁次: 20/42 Page: 20/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

5.4.9 供應商發展 Supplier development

針對現有的供應商，應決定必要的供應商發展措施的優先順序、方式、程度及時間安排。決定時，應考慮以下(但不限於)：

Determine the priority, type, extent, and timing of required supplier development actions for its active suppliers. Determination inputs shall include, but are not limited to, the following:

- A. 供應商監控所發現的績效議題(見上述 5.4.7 供應商監控績效)；
- B. 第二者稽核的缺失發現(見上述 5.4.8 實施第二者稽核)；
- C. 第三方品質管理系統的認證狀況；
- D. 風險分析。

應實施必要的措施，用以解決未結案或未滿足的績效議題(例如，供應商監控績效)及追求持續改善的機會。

- A. Performance issues identified through supplier monitoring (please refer to Section 5.4.7 the performance of monitoring supplier above);
- B. Second-party audit findings (please refer to Section 5.4.8 the implementation of the second party audit above)
- C. The third-party quality management system certification status
- D. Risk analysis

Shall implement actions necessary to resolve unsettled or unsatisfactory (such as, the performance of monitoring supplier) performance issues and pursue opportunities for continual improvement.

5.4.9.1 供應商品質管理系統發展 Supplier quality management system development

除非客戶另有授權同意只經由第二方稽核以確認符合 ISO 9001 要求，否則組織應要求其車用產品和服務的供應商發展、實施及改善其經 ISO 9001 驗證的品質管理系統。符合申請汽車產業品質管理系統(IATF)的供應商以通過 IATF16949 的驗證為終極目標。除非客戶另有其它規定，得應用下列順序來符合本項要求：

GlobalWafers shall require suppliers of automotive products and services to develop, implement, and improve a quality management system (QMS) with the ultimate objective of being certified with to ISO 9001, unless otherwise second-party authorized by the customer, a QMS certified to ISO 9001 is the initial minimum acceptable level of development. Suppliers who meet the requirements of International Automotive Task Force (IATF) shall be with the ultimate objective of becoming certified by IATF 16949. Unless otherwise specified by the customer, the following sequence should be applied to achieve the requirements:

- A. 經由第三方稽核的 ISO9001 驗證；除非客戶有其它規定，組織的供應商應透過維持驗證機構所發出的第三方驗證證書展現符合 ISO9001，該證書上應有 IAF MLA 成員認證機構的標誌，且該認證機構的主要範圍有包含 ISO/IEC17021 的管理系統驗證；



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 21/42 Page: 21/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- B. 取得 ISO9001 驗證，且經由第二者稽核符合客戶所定義的其他品質管理系統要求，例如 MAQMSR(IATF 發佈之次級供應商最低汽車品質管制體系要求)或類似者；
- C. 取得 ISO 9001 驗證，且經由第二者稽核符合 IATF16949 要求；
- D. 取得 IATF 16949 第三方驗證(經由 IATF 認可的驗證機構)。
- A. Certification to ISO 9001 through third-party audits; unless otherwise specified by the customer, GlobalWafers’ suppliers shall demonstrate conformity to ISO 9001 by maintaining the third-party certification issued by the certification body bearing the accreditation mark of recognized IAF MLA member and where the accreditation body’s main scope includes management system certification to ISO/IEC 17021;
- B. Certification to ISO 9001 with compliance to other customer-defined QMS requirements, such as MAQMSR (Minimum Automotive Quality Management System Requirements for Sub-Tier Suppliers) or equivalent;
- C. Certification to ISO 9001 with compliance to IATF 16949 through second-party audits;
- D. Certification to IATF 16949 through third-party audits; (valid third-party certification of the supplier to IATF 16949 by an IATF-recognized certification body).

5.5 供應商交貨品質考核 Supplier delivery quality assessment

5.5.1 作業內容 Operation：

5.5.1.1 考核頻率：每月一次。Frequency: Once every month.

5.5.1.2 考核項目與權責單位：Assessment items and competent authority:

項目 Item	比重 Specific weight	考核部門 Assessment Dep.
品質 Quality	60	品管 Quality assurance
交期 Delivery	20	採購 Purchasing
服務 Service	20	採購 Purchasing

5.5.1.3 考核方式 Assessment method

A. 品質 = 60%(進料檢驗分數^{註1}) - 回覆率相對應分數^{註2} - VCAR 判定為供應商問題相對應分數^{註3}
Quality = 60% (in-coming material inspection score^{Note 1}) – response rate corresponding score^{Note 2} – corresponding score of VCAR determination as issues from suppliers^{Note 3}

$$\begin{aligned}
& \text{註1 進料檢驗分數} = (50 (1 - \frac{\text{退貨總批}}{\text{進料總批}}) + 30 (1 - \frac{\text{退料總數}}{\text{抽樣總數}}) + 20 (1 - \frac{\text{退料總數}}{\text{進料總數}})) \\
& \text{Note 1 In-coming inspection score} = (50 (1 - \frac{\text{Total returned batch}}{\text{Total batch of in-coming material}}) + 30 (1 - \frac{\text{Total returned material}}{\text{Total sampling quantity}}) + 20 (1 - \frac{\text{Total returned material}}{\text{Total quantity of in-coming material}}))
\end{aligned}$$



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 22/42 Page: 22/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

註2 回覆率相對應分數:

若供應商發生品質問題，環球發出 VCAR 給供應商後，供應商須於一個工作天內回覆，二個工作天內回覆其初步報告，七個工作天內回覆其最終報告。若其回覆率分數 0%~50%則扣其總分 20 分, 51%~79%則扣其總分 10 分, 80%~99%則扣其總分 5 分, 100%以上則不扣分

Note 2 Response rate corresponding score:

If any supplier has quality issues, GlobalWafers will issue VCAR to the supplier. The supplier must respond it within one working day, provide an initial report within two working days, and submit a final report within seven working days. If the response rate score is between 0% and 50%, 20 points will be deducted from the total score, 10 points will be deducted for the rate between 51% and 79%, 5 points for 80% to 99%, and no deduction for 100%

註3 VCAR 判定為供應商問題相對應分數：若調查屬供應商原因扣分如下；若非供應商原因，則不扣分。

1 件:扣 25 分(當月份相同異常原因視之為一件)；

≥2 件:扣 40 分，並交付物料鑑審會議討論續購與否及處置；

Note 3 Corresponding score of VCAR determination as issues from suppliers: Deduction standard will be as below if the investigation reveals it is caused by something attributable to the supplier. No deduction will be carried out if it is not an issue from the supplier.

1 case: Deduction of 25 points (the same abnormal reason in the same month will be regarded as one case)

≥2 cases: Deduction of 40 points, and it shall be forwarded to Material Review Board's meeting to discuss whether to continue the future purchase and how to handle it.

VCAR 回覆時效

=20%((一個工作天內回覆之案件數 / 全部之案件數)) + 30%((二個工作天內回覆其初步報告之案件數 / 全部之案件數)) + 50%((七個工作天內回覆其最終報告之案件數 / 全部之案件數))

VCAR response deadline

=20%((Cases that are responded within one / Total case number)) + 30%((Cases that are provided with an initial report within / Total case)) + 50%((Cases that are submitted with final report within seven / Total case number))

B. 交期 = 20% × [交期分數] Delivery = 20% × [delivery score]

延交工作天數 Delayed working day(s)	交期分數 Delivery score
0	100
1	90
2	80
3-4	70
≥5	60

C. 服務 = 20% × (價格 × 50% + 報價回覆效率 × 15% + 文件正確性 × 25% + 態度 × 10%)

Service = 20% × (Price × 50% + Quotation response efficiency × 15% + Document correctness × 25% + Attitude × 10%)

*價格: 評分分數如下表 (cost down% = (前購價 - 現購價) / 前購價, 前購價為前一年度 Q3 價格)

Price: assessment score as table below (cost down% = (previous purchase price - current purchase price) / previous purchase price; previous purchase price is the price for Q3 in the previous year)



機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: Doc. No.:	STQ-P1005 STQ-P1005	頁次: 23/42 Page: 23/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

cost down%	評分分數 Assessment score
>15	100
12~14.99	95
8~11.99	90
4~7.99	85
1~3.99	80
0~0.99	70
<0	60

*報價回覆效率: 回覆天數 <1 天 100 分; 1~3 天 60 分; >3 天 0 分;

*文件正確性: 正確 100 分; 不正確 0 分 (文件泛指:發票,進口文件,SDS, COA 等);

*態度: 積極 100 分; 怠惰 0 分。

總分 = 品質 + 交期 + 服務

*Quotation response efficiency: Response day(s) <1: 100 points; 1~3: 60 points; >3: 0 point.

*Document correctness: Correct: 100 points; incorrect: 0 point (document refers to receipt, importing documents, SDS, COA...etc.).

*Attitude: Active: 100 points; indolent: 0 point.

Total score = Quality + Delivery + Service

5.5.1.4 評等 Rating :

等級 Level	總分 Total score
甲	86-100
乙	71-85
丙	61-70
丁	60 以下

5.5.1.5 考核之執行 Implementation of assessment :

每月由品保將品質考核成績填入「供應商交貨品質/交期/服務評分表」(STQ-P1005-T005)交與採購,採購彙總供應商交期及服務成績並將之填入「供應商交貨品質/交期/服務評分表」(STQ-P1005-T005),並每年一次算出上一年度之年度考核平均等級,填入「()年度供應商考核評等表」(STQ-P1005-T006)。

Each month, quality assurance shall fill the quality assessment score in “Supplier Delivery Quality/ Delivery Time/ Service Evaluation Form” (STQ-P1005-T005) before forwarding it to the purchasing. The purchasing shall summarize the supplier’s performance in delivery time and service and fill it in “Supplier Delivery Quality/ Delivery Time/ Service Evaluation Form (STQ-P1005-T005). The annual assessment average level for the previous year shall be calculated once every year and be filled in “Year ___ Supplier Assessment Form” (STQ-P1005-T006).



機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 24/42 Page: 24/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

5.5.1.6 結果處置 Outcome handling :

- 5.5.1.6.1 品質單項分數為 60 分以下時，品保將開立 VCAR，請供應商提出相關改善報告。
- 5.5.1.6.2 交期延遲三天(含)以上時，採購將開立 VCAR，請供應商提出相關改善報告。
- 5.5.1.6.3 考核評等為甲等時則可增加採購量。
- 5.5.1.6.4 評等為丙等(含)以下時，彙總開立 VCAR；惟交期部份不需另開 VCAR 請供應商提出相關改善報告。針對此等供應商之進料須連續追蹤其第三批進料之品質交期及服務。
- 5.5.1.6.5 若供應商品質連續追蹤三批進料未獲結果，則由品保召集採購，研發及生產相關部門召開會議討論是否取消其合格供應商(或合格原物料)資格，並將其討論結果作成記錄。或由採購單位召集相關單位對該供應商執行不定期稽核(實地/書面)，並將稽核結果作成記錄。
- 5.5.1.6.6 連續三個月為丁等，則取消其合格供應商(或合格原物料)資格，或由品保召集採購、研發及生產相關部門召開會議討論再作成決議；其決議結果應填寫「不合格供應商處置單」(STQ-P1005-T008)留下記錄。
- 5.5.1.6.1 When any single item is with quality score below 60 points, the quality assurance department will issue VCAR to request the supplier proposing relevant correction action report.
- 5.5.1.6.2 When the delivery time is delayed for more than three days (included), the purchase department will issue VCAR to request the supplier proposing relevant correction action report.
- 5.5.1.6.3 If the result of assessment rating is level A, the purchase volume can be increased.
- 5.5.1.6.4 If the result of assessment rating is level C (included), an integrated VCAR will be issued. However, VCAR for delivery time will not need to be issued to the supplier for the correction action report. In-coming material from this kind of suppliers must be continuous tracing up in the next consecutive three batches for the quality, delivery, and service of the in-coming material.
- 5.5.1.6.5 If the supplier fails to improve the quality in the consecutive three batches of in-coming material followed-up, the quality assurance shall call for the purchasing, R&D, and production to join a meeting to discuss whether to cancel the qualification of the qualified supplier (or qualified material). The result of the discussion shall be recorded. Instead, the purchasing can call for relevant departments to implement irregular audit (on-site/document) to the supplier and keep a record of the auditing result.
- 5.5.1.6.6 Suppliers with the assessment outcome of level D for consecutive three months will be cancelled their qualification as qualified suppliers (or qualified material) or a relevant decision shall be made after the quality assurance call the purchasing, R&D, and production for a meeting to discuss. The outcome of the resolution shall be filled in “Supplier Disqualification Form” (STQ-P1005-T008) for record keeping.



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 25/42 Page: 25/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

1. 採購管理流程(STQ-P1006) 。 Procurement Management Process (STQ-P1006)
2. 廠商基本資料表(附件一、附件二) 。 Company profile & Bank information (Appendix 1, Appendix 2)
3. 供應商(問卷)調查表(STQ-P1006-T004) 。 Vendor Survey (STQ-P1006-T004)
4. 治工具供應商評鑑表(STQ-P1005-T003) 。 Fixture and Tool Supplier Evaluation Form” (STQ-P1005-T003)
5. 供應商品質管理系統調查表(STQ-P1005-T004) 。 Quality System Assessment Checklist (STQ-P1005-T004)
6. 供應商品質系統認證追蹤調查表(STQ-P1004-T003) 。 Supplier Quality System Certification Follow-up Form (STQ-P1004-T003)
7. 『MRB 物料鑑審單』 (STQ-P1015-T001) 。 Material Review Board (MRB) (STQ-P1015-T001)
8. 供應商交貨品質/交期/服務評分表(STQ-P1005-T005) 。 Supplier Delivery Quality/ Delivery Time/ Service Evaluation Form (STQ-P1005-T005)
9. ()年度供應商考核評等表(STQ-P1005-T006) 。 Year ___ Supplier Assessment Form (STQ-P1005-T006)
10. 年度稽核計畫表(STQ-P1005-T007) Annual Audit Plan (STQ-P1005-T007)
11. 工程試作作業流程(STQ-P1012) Engineering Pilot Run Process (STQ-P1012)
12. 樣品承認書 (STQ-P1004-T002) Sample Approval Form (STQ-P1004-T002)
13. 不合格供應商處置單 (STQ-P1005-T008) Supplier Disqualification Form (STQ-P1005-T008)
14. 廠商改善行動通知書 VCAR(STQ-P2026-T007) 。 Vendor Corrective Action Report - 8D (STQ-P2026-T007)
15. 供應商實地評鑑報告表(STQ-P1005-T009) On-Site Audit Report (STQ-P1005-T009)
16. 供應商環安衛評核表 (SIE-P1006-T005) Environmental, Safety & Health Management System Assessment (SIE-P1006-T005)
17. 供應商產品稽核報告(STQ-P1005-T010) Product Audit Report (STQ-P1005-T010)
18. 供應商品質要求管理辦法 GWC Supplier Quality Requirement Critical Materials Suppliers(STQ-P2075)
19. 供應商緊急情況通報與溝通 GWC Supplier emergency response communication(STQ-P1005-T011)



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 26/42 Page: 26/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)



環球晶圓股份有限公司

附件一

新竹科學工業園區工業東二路 8 號

TEL:03-5772255

FAX: 03-5781706 / 03-5790405

www.sas-globalwafers.com

廠商基本資料

日期: _____

編號: _____

公司簡稱		統一編號		股票代號	
公司全名					
公司性質	<input type="checkbox"/> 送貨廠商 <input type="checkbox"/> 付款廠商 <input checked="" type="checkbox"/> 二者皆是				
公司地址					
發票地址					
寄票地址					
Email					
公司電話		公司傳真			
聯絡人		聯絡電話			
付款條件		價格條件			
慣用幣別		慣用稅別			
相關企業	<input type="checkbox"/> 無 <input type="checkbox"/> 有: _____ <small>(包含依中華民國公司法定義之: 1. 關係企業、2. 經股東會許可競業之董事及其任職之具競業關係公司、3. 經董事會同意競業之經理人及其任職之具競業關係公司)</small>				

公司發票章用印處

公司代表或聯絡人簽名處

*本公司承諾絕無不誠信行為之紀錄；本公司保證從事商業行為之過程中，嚴格禁止直接或間接行求、提供、期約、要求或收受任何不正當利益，或做出其他利益衝突、不法或違背受託義務…等不誠信行為。本公司並保證，至本調查表簽章之日止，本公司已提供予中美矽晶製品股份有限公司/環球晶圓股份有限公司(下稱“中美/環球”)之產品及/或服務，未侵害第三人智慧財產權，亦未發生智慧財產權相關訴訟。本公司承諾，未來任何提供予中美/環球之產品及/或服務，不得侵害第三人智慧財產權；倘有侵害第三人智慧財產權或有侵害之虞時，本公司應立即通知中美/環球。

**本公司董監事或合夥人等是否與中美/環球內部人員(員工)有親屬關係，
否: _____ (打勾)。

是: _____ 君，本公司特此聲明其於我司之職責無涉及本交易之決定。

***上開保證承諾及揭露事項若有違背或不實，中美/環球有權立即終止交易行為且不對本公司負任何責任，本公司並將賠償中美/環球一切損失。

PS.免使用發票公司行號請提供證明文件

*請檢附政府機關核發/公示之相關營業登記佐證文件，如營利事業登記證/股份有限公司設立(變更)表/經濟部商業司 商工登記

本文件為環球晶圓股份有限公司財產非經公司授權任何人不得影印

Document authorized by GW Co., Ltd. do not reproduce without permission. (STQ-P2012-T003-03)



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 27/42 Page: 27/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

公示資料查詢服務...等。

供應商銀行帳戶資料(台幣用)

公司編號		公司簡稱	
*以上由中美/環球填寫			
公司全名			
受款戶名			
銀行代號 (7碼)		銀行名稱	
帳戶編號			
聯絡人		e-mail	
受款戶名			
銀行代號		銀行名稱	
帳戶編號			
聯絡人		e-mail	
供應商公司章用印處	供應商聯絡人簽名處		

*請附上銀行存摺影本並蓋公司大、小章



機密等級 Security Level	限閱 Restricted
文件編號: STQ-P1005 Doc. No.: STQ-P1005	

版本: 35 Rev: 35
頁次: 28/42 Page: 28/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

【中美矽晶製品股份有限公司/環球晶圓股份有限公司—直接／間接蒐集個人資料法定告知事項】

茲按個人資料保護法(以下簡稱「個資法」)第 8、9 條規定，就非公務機關直接／間接蒐集之個人資料於處理或利用前、或併於首次利用時，應向當事人告知事項者，謹函載明如下，敬請詳閱：

- 一、 非公務機關名稱：中美矽晶製品股份有限公司/環球晶圓股份有限公司（以下簡稱「本公司」）
- 二、 個人資料來源：直接／間接蒐集
- 三、 蒐集之目的：一〇七採購與供應管理、〇六九 類似契約
- 四、 個人資料之類別： 辨識個人者之姓名、住址、行動電話、身份統一編號
- 五、 個人資料蒐集、處理及利用之地區：中華民國地區
- 六、 個人資料蒐集、處理及利用之對象：本公司(含分公司)、本公司之母公司或子公司，或本公司母公司或子公司之關係企業等
- 七、 個人資料蒐集、處理及利用之方式：符合個人資料保護相關法令以自動化機器或其他非自動化之方式
- 八、 當事人依個資法第 3 條規定得行使下列權利：
 - (一)除有個資法第 10 條所規定之例外情形外，得向本公司查詢、請求閱覽或請求製給複製本；惟本公司依個資法第 14 條規定得酌收必要成本費用。
 - (二)得向本公司請求補充或更正；惟依個資法施行細則第 19 條規定，當事人應適當釋明其原因及事實。
 - (三)本公司如有違反個資法規定蒐集、處理或利用當事人之個人資料，依個資法第 11 條第 4 項規定，當事人得向本公司請求刪除、停止蒐集、處理或利用。
 - (四)依個資法第 11 條第 2 項規定，個人資料正確性有爭議者，得向本公司請求停止處理或利用當事人之個人資料。惟依該項但書規定，本公司因執行業務所必須，並註明其爭議或經當事人書面同意者，不在此限。
 - (五)依個資法第 11 條第 3 項規定，個人資料蒐集之特定目的消失或期限屆滿時，得向本公司請求刪除、停止處理或利用該個人資料。惟依該項但書規定，本公司因執行業務所必須或經當事人書面同意者，不在此限。
 - (六)有個資法第 19 條第 1 項第 7 款但書情形，依同條第 2 項規定，得向本公司請求刪除、停止處理或利用該個人資料。
 - (七)當事人如欲行使個資法第 3 條規定之各項權利，請聯絡：
採購單位黃淑絹先生/小姐；電話：037-582533#3132；
電子信箱：jane.huang@saswafer.com。即請鑒查。

簽名： 日期：中華民國 年 月 日



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 29/42 Page: 29/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)



環球晶圓股份有限公司

新竹科學工業園區工業東二路 8 號

TEL:03-5772255

FAX: 03-5781706 / 03-5790405

www.sas-globalwafers.com

環球晶圓股份有限公司

供應商行為準則

暨

供應商承諾書

環球晶圓股份有限公司(下稱「買方」)向來對於法令、道德、環境及品質之遵行,不遺餘力採取最高標準,且期許所有供應商以與上述標準一致的方式從事商業活動;鑒此,買方謹以此文件向所有供應商宣達此等信念。

此文件包含二部分:第一部分為「供應商行為準則」(下稱「準則」),準則中定義買方對其供應商(詳見「供應商承諾書」之定義)的基本要求,並強調供應商有義務遵行所有其業務活動地域及其他同具適用性之法令規範;第二部分為「供應商承諾書」(下稱「承諾書」),供應商於之聲明,承諾其充分踐行買方所訂之供應商行為準則。

【供應商行為準則】

一、反賄賂、反貪腐

1. 供應商除應遵守相關具適用性之中華民國法律外,亦應遵守美國《海外反貪腐法》(FCPA)、英國《2010年賄賂法令》及其他所有同具適用性之反賄賂、反貪腐法令規範。
2. 供應商應向其員工、代理人、代表人、供應商、承攬商及其他直接或間接與買方或於業務範圍內代表買方之人進行交易者,宣達反賄賂、反貪腐之行為。供應商不得於任何情況下,為影響買方交易決定,向買方或買方代表行求、期約或交付賄賂或任何不正利益。
3. 供應商應定期自我評估、驗證,確保其未參與關係人交易、虛偽交易、詐欺及奸巧迂迴手段,規避法律之脫法或違法行為。

二、社會及環境責任

1. 供應商應詳實肯認、理解、採納並致力遵行「責任商業聯盟行為準則」(下稱"RBA")及其後續更新;現行RBA 規範全文參見:<http://www.responsiblebusiness.org/>。
2. 供應商應對於RBA 旨在確保電子產業或以電子產品為主要成分之產業的勞動安全、及商業營運之環保與道德操守,而所建立有關勞工、健康與安全、環境及商業道德之標準予以肯認。為採納RBA,供應商應聲明其對RBA 的支持,並據RBA 中的管理系統積極落實其規範與標準。

三、無衝突礦產

1. 供應商應了解,剛果民主共和國(下稱"DRC")及其周邊地區的武裝叛亂組織因金屬礦產之開採及貿易,肇致人權侵害、武裝衝突與國際爭端等嚴重的社會及環境問題。
2. 作為盡責捍衛人權與改善DRC 及其周邊地區武裝衝突之企業公民,供應商應於其供應鏈中善盡注意義務,盡職調查以確保其出售、移轉或交付予買方之產品所採用的金(Au)、鉭(Ta)、鎢(W)、錫(Sn)、鈷(Co)、雲母(mica)為「無衝突礦產」,而非延伸或源於上述地區者。
3. 供應商應理解由DRC 直接出口,或經安哥拉、布隆迪、中非共和國、剛果共和國、盧安達、南蘇丹、辛巴威、烏干達、坦尚尼亞、肯亞及尚比亞(聯合國安全理事會所指DRC 所採礦產之全球出口路線所涉國家)所出口者,均非「無衝突礦產」。

四、貿易法令遵循

1. 供應商應持續追蹤所適用的出口管制法令之更新以確保法令遵循,且應詳實揭露其供應、移轉或交付予買方之產物或商品所適用的出口管制法令。
2. 供應商不得參與任何非法、不當、反競爭或不公平之商業行為。

本文件為環球晶圓股份有限公司財產非經公司授權任何人不得影印

Document authorized by GW Co., Ltd. do not reproduce without permission. (STQ-P2012-T003-03)



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted
文件編號: Doc. No.:	STQ-P1005 STQ-P1005

版本: 35 Rev: 35
頁次: 30/42 Page: 30/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

五、無侵權產物或商品

供應商應確保所有其供應、移轉或交付予買方之產物或商品，均無直接侵害、間接引誘或輔助侵害任何第三人之國內外智慧財產權。

六、禁止包含強迫勞動成分之矽產品

- 買方要求供應商加強留意杜絕強迫勞動情形，對於其供應鏈中矽原料來源及產地予以詳實記錄。供應商應依買方要求提供前開紀錄（例如，原物料產地證明文件、原物料供應商清單），俾針對涉及供應商產物或商品的貨物，協助買方回應海關調查（例如，美國海關暫扣令）。
- 供應商應保證所有其供應、移轉或交付予買方之矽產品、成分或原物料，均非由使用強迫勞動、童工或任何侵害人權之方式所製造。
- 供應商另應保證所有其供應、移轉或交付予買方之中間產品或製成品，均不涵蓋違反前項規定之矽產品、成分或原物料，亦非由違反前項規定之矽產品、成分或原物料所生產或衍生者。
- 供應商應持續追蹤經公告涉及強迫勞動生產疑慮的矽供應商資訊。買方並鼓勵供應商自願透過採購新疆地區以外的多晶矽原物料的方式，降低其在供應鏈中所面臨的法令遵循風險。（為便利參照，部分經認定涉及強迫勞動之廠商，可見：

<https://www.federalregister.gov/documents/2021/06/24/2021-13395/addition-of-certain-entities-to-the-entity-list>）。

七、綠色採購

供應商應善盡地球公民的責任，配合投入綠色採購行列，要求其上游供應商依循下列原則作業：

- 承諾供應之產品符合國內外政府相關法令(RoHS、REACH、WEEE 等)之環保產品。
- 優先採購環保主管機關公告指定之具有環保標章之產品，例如節能標章、省水標章、綠建材標章等環境保護產品。
- 必要時供應商揭示第三方公正單位測試報告以作為不使用有害物質之保證。

【供應商承諾書】

致

環球晶圓股份有限公司

本公司_____係依_____國法所組織設立之公司，主要營業位址於_____，

並為環球晶圓股份有限公司（下稱「買方」）之供應商。（下稱「供應商」）

供應商願採與買方一致的標準從事商業活動，並認知且無條件同意，於違反適用法令規範或買方之供應商行為為準則情形下，將恐面臨相關行政機關處分或買方不利處置。

準上，供應商特此聲明：

- 我們已審慎檢閱且充分理解上開供應商行為準則，並據此承諾依循供應商行為準則所訂原則及要求行事。
- 我們同意買方或買方所指定之第三人得隨時進入廠區執行檢查或稽核以驗證我們就供應商行為準則之遵循。我們願於收到買方為稽核目的所要求，在五個工作日內出具關於遵循供應商行為準則之書面自行評估文件。
- 依供應商行為準則第四條第1項規定，我們謹此向買方詳實告知我們所供應、移轉或交付予買方之

（產物或商品名稱）_____。

是否受美國出口管制法令(Export Administration Regulations of the U.S.)規範？

是 否

若前題答案為「是」，請填寫該產物或商品的 ECCN 碼：

（ECCN 碼）_____。

本文件為環球晶圓股份有限公司財產非經公司授權任何人不得影印

Document authorized by GW Co., Ltd. do not reproduce without permission. (STQ-P2012-T003-03)



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 31/42 Page: 31/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- 倘有任何違反供應商行為準則情事，我們同意買方有立即無條件終止商業關係之權利，且買方不因此對我們負損害賠償或任何責任。我們亦肯認買方對於任何相關法令規範，包含具刑事責任規定者，訴諸法律行動之權利。
- 我們對未履行此供應商承諾書所直接或間接致買方或其董事、主管、受僱人及代理人受任何違反具適用性的法令之主張、控訴或行政處分，有就其等一切成本支出、所受損害、和解金及費用（包含但不限於律師與其他專業人士的費用），負賠償、使免責與辯護之責任。
- 買方任何內部或外部利害關係人有違反供應商行為準則之虞者，我們願立即就此情事藉 whistleblower@sas-globalwafers.com 管道詳敘細節向買方檢舉。

綜上所述，我們承諾不遺餘力遵循供應商行為準則，
並承諾採取與本承諾書一致的方式從事商業活動。

供應商：_____

負責人/代表人姓名：_____

職稱：_____

簽章：_____

日期：_____



供應商評鑑管理流程(Supplier Evaluation and Management Process)

供應商誠信經營評估調查

評核項目 Evaluation	量化標準 Quantitative Criteria	分數 Score	供應商自評 Vendor-evaluation
企業之國別/ 主要營運所在地 ¹ (Location of company) (30%)	第 1-30 名 (Rank: No.1-30)	100	
	第 31-60 名 (Rank: No.31-60)	75	
	第 61-100 名 (Rank: No.61-100)	50	
	第 100 名之後 (Rank: No.100~)	0	
企業所營業務 (Type of Business Operations) (20%)	非屬以下例示產業且風險依經驗法則為低者 (Others and lower risk)	100	
	金融服務、科技、軟體、健康服務 (Financial services, Technology Industry, Health services)	90	
	製造業及代工廠、航太、國防、交通運輸、通訊業 (Manufacturing industry, OEM, Aerospace industry, defense industry, Transport industry, Communications industry)	75	
	提煉業 (礦產、石油、氣體)、工程營造業 (Refining industry (Mineral, Petroleum, Gas), Construction Industry)	60	
信譽 (Credibility) (50%) ³	是否訂定誠信經營政策且對外宣示 (Has your company adopted and made public an ethical management policy? (Please specify such website or any publicly accessible medium as evidence.))	Yes No	100 0
	是否曾涉賄賂或非法政治獻金不誠信行為 (Does your company have a record of involvement in unethical conduct such as bribery or illegal political contributions?)	Never Had been	100 0
	是否曾涉智財侵權爭議且受不利結果 (和解賠償、司法確定判決等) (Has your company been involved in any intellectual-property infringement dispute with an unfavorable outcome (e.g., settlement, final court decision, etc.?)	Never Had been	100 0
	是否曾涉競爭法爭議且受不利結果 (行政處分、司法確定判決等) (Has your company been involved in any antitrust issue with an unfavorable outcome (e.g., administrative order, final court decision, etc.?)	Never Had been	100 0
	是否簽署本公司制式「供應商承諾書」 (Did your company sign the standard "Supplier's Declaration on Compliance with Procurement Guidelines" as required by GlobalWafers?)	Yes No	100 0

GWC 覆評 (GWC internal use)			
供應商誠信評核: (Vendor Survey)			
評核項目 (Evaluation)	(1) 企業之國別/主要營運所在地(30%) (Location of company)	(2) 企業所營業務(20%) (Type of Business Operations)	(3) 信譽(50%) (Credibility)
分數 (Score)			
總分/風險等級 (Total score/Risk level)	/		
經辦員 (buyer)			

低(low): 90 以上為低度風險之供應商。

中(medium): 80 分以上, 未滿 90 分為中度風險之供應商。

高(high): 未滿 80 分為高度風險之供應商。

¹ 以公司董事或行政部門所在地為準。

² <https://zh.wikipedia.org/wiki/%E8%B2%AA%E6%B1%A1%E6%84%9F%E7%9F%A5%E6%8C%87%E6%95%B8>

³ 五子小題者得分先加總, 除以 5, 再乘以權重。



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

供應商評鑑管理流程(Supplier Evaluation and Management Process)

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 33/42 Page: 33/42

附件二

COMPANY PROFILE

NO. _____

COMPANY ABBR.		VAT NO.		Stock Code	
COMPANY NAME					
TYPE OF SUPPLIER	<input type="checkbox"/> DELIVERER <input type="checkbox"/> PAYEE <input type="checkbox"/> BOTH				
COMPANY ADDRESS					
TELEPHONE		FAX			
CONTACT PERSON		CONTACT NO.			
EMAIL					
PAYMENT TERMS		TRADE TERMS			
CURRENCY					
PERSON IN CHARGE:					
SIGNATURE					
<p>*Our company guarantees that we have no record against the compliance with business integrity. We promise that we strictly prohibit any offer of, provision of, agreement to, request for, or reception of improper benefit, and any unethical behavior involving conflict of interest, violation of law, breach of fiduciary duty, etc. Our company further warrants that, upon the signing of this COMPANY PROFILE, all products and/or services that we have provided to Sino-American Silicon Products Inc./ GlobalWafers Co., Ltd. (hereinafter, "SAS/GWC") do not infringe any intellectual property right of any third party, and are irrespective of any intellectual property related litigation. We guarantee that, all products and/or services which are to be provided to SAS/GWC must not infringe any third party intellectual property right; in case of any infringement or potential infringement of third party intellectual property right, our company shall immediately notify SAS/GWC of such instance.</p> <p>**Whether or not any of our company's director, supervisor, or partnership is a relative of SAS/ GWC's employee. No: _____(please fill with checkmark "V") . Yes : Mr./Ms. _____; our company hereby declare that he/she is not involved in the decision making of the transaction.</p> <p>***In case of any breach of compliance with or false disclosure of the foregoing terms, SAS/GWC has the right to immediately terminate the business relationship without assuming any liability or damage to our company; in addition, our company shall indemnify SAS/GWC against all damages arising out of or in connection with such breach of compliance or false disclosure.</p>					



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

供應商評鑑管理流程(Supplier Evaluation and Management Process)

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 34/42 Page: 34/42

BANK INFORMATION

COMPANY NO.		ABBREVIATION	
*BLANK AS ABOVE IS TO BE FILLED IN BY SAS group.			
COMPANY NAME			
REMITTANCE ADVICE CONTACT PERSON		E-MAIL	
CURRENCY		BENEFICIARY	
A/C NO. OR IBAN			
COUNTRY OF BANK		BANK NAME	
BANK ADDRESS			
SWIFT CODE			
ABA/ROUTING#			
INTERMEDIARY BANK			
INTERMEDIARY BANK SWIFT CODE			
NOTE			
SIGNATURE:	COMPANY STAMP:		
NAME IN PRINT:			
TITLE:			



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

供應商評鑑管理流程(Supplier Evaluation and Management Process)

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: Doc. No.:	STQ-P1005 STQ-P1005	頁次: 35/42 Page: 35/42



GlobalWafers Co., Ltd.

No. 8. Industrial East Road 2,
Hsinchu Science Park, Taiwan, R.O.C.
TEL:886-3-5772255
FAX: 886-3-5781706 / 886-3-5790405
www.sas-globalwafers.com

Personal Information Protection Notification

To comply with the Personal Information Protection Act of R.O.C. (the “Act”), Sino-American Silicon Products Inc. and its’ affiliate companies which outstanding shares are directly or indirectly held by Sino-American Silicon Products Inc. for more than 50% (including but not limited to GlobalWafers Co., Ltd.; hereinafter collectively referred to as “SAS”) hereby inform you that:

1. The way SAS collects your personal information: Direct/Indirect. (*i.e.* from a third party)
2. Purpose (by purpose code):
 - (1) 069: Contract, contract-like or other legal relation matters.
 - (2) 107: Purchasing and supplier management.
3. Classification of personal information (by code):
 - (1) C001: Name, Address, Phone Number.
 - (2) C003: ID Number.
4. Period of processing and using (the longer period to be applied):
 - (1) Within the time period allowed by such specific purposes; or
 - (2) Retention period in accordance with the relevant laws/regulations, SAS’ business needs, or individual contract.
5. Geographical Area: R.O.C.
6. Party which processes and uses the personal information: SAS.
7. The way of the processing and using of personal information: By way of automatic or non-automatic measures that complies with the Act.
8. According to Article 3 of the Act, you may exercise the following rights with regard to your personal information collected by SAS:
 - (1) Except for the situations as stipulated in Article 10 of the Act, you may request SAS to respond to your questions, allow access to your personal information or provide duplicate of it, but SAS is entitled to charge necessary fee according to Article 14 of the Act.
 - (2) You may request SAS to supplement or correct your personal information; however, according to Article 19 of the enforcement rule of the Act, you shall properly explain the reason and fact of the request to SAS.
 - (3) You may request SAS to delete, discontinue the collection, processing or using in case where a violation of the Act occurred during collecting, processing or using your personal information, according to the 4th paragraph of Article 11 of the Act.
 - (4) You may request SAS to discontinue processing or using of your personal information when disputes occurred regarding the accuracy of personal information. However, in accordance with the proviso of

本文件為環球晶圓股份有限公司財產非經公司授權任何人不得影印

Document authorized by GW Co., Ltd. do not reproduce without permission. (STQ-P2012-T003-03)



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 36/42 Page: 36/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

the 2nd paragraph of Article 11 of the Act, the preceding situation mentioned in 8.(4) may not be applicable when it is necessary for SAS to perform an official duty or fulfillment of a legal obligation and has been recorded, or when it is agreed by you in writing.

- (5) You may request SAS to delete, discontinue processing or using your personal information when the specific purpose no longer exists or time period expires, according to the 3rd paragraph of Article 11 of the Act. However, in accordance with the proviso of the 3rd paragraph of Article 11 of Act, the preceding situation mentioned in 8.(5) may not be applicable when it is necessary for SAS to perform an official duty or when it is agreed by you in writing.
- (6) You may request SAS to delete, discontinue processing or using your personal information according to 2nd paragraph of Article 19 if the event described in the proviso of 7th subparagraph of 1st paragraph of Article 19 happens.
- (7) Please contact Name: Jane Huang; Phone Call: 886-3-5772233 ext. 3132(working hours); or E-mail: jane.huang@saswafer.com for exercising your rights prescribed in Article 3 of the Act.



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

供應商評鑑管理流程(Supplier Evaluation and Management Process)

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: Doc. No.:	STQ-P1005 STQ-P1005	頁次: 37/42 Page: 37/42



GlobalWafers Co., Ltd.

No. 8. Industrial East Road 2,
Hsinchu Science Park, Taiwan, R.O.C.
TEL:886-3-5772255
FAX: 886-3-5781706 / 886-3-5790405
www.sas-globalwafers.com

**GlobalWafers Co. Ltd.
Supplier Code of Conduct
&
Supplier's Declaration on
Compliance with Supplier Code of Conduct**

GlobalWafers Co. Ltd. and its affiliate companies which outstanding voting shares are held more than 50% by GlobalWafers Co. Ltd. directly or indirectly ("Buyer") is committed to comply with the highest level of legal, ethical, environmental and quality standard and expects all of its Suppliers to conduct business in a manner consistent with the foregoing standard.

As such, Buyer provides this document which consists of two parts: Supplier Code of Conduct, which defines the basic requirements placed by Buyer to all of its Suppliers (as defined in "Declaration of the Supplier") and put emphasis on Suppliers' responsibilities to comply with all laws, rules and regulations where Supplier's business is carried out and when any such law, rule or regulation should be applicable, and the Declaration of the Supplier which Supplier gives its commitment of the full compliance of Supplier Code of Conduct.

Supplier Code of Conduct

Supplier bears the responsibilities to comply with all laws, rules and regulations where Supplier's business is carried out and when any such law, rule or regulation should be applicable, including yet not limited to the followings:

1. ABAC (Anti-Bribery; Anti-Corruption)

1.1 Supplier shall follow U.S. "Foreign Corrupt Practices Act (FCPA)", UK "Bribery Act 2010" and all anti-bribery and anti-corruption laws whenever applicable, in addition to applicable local R.O.C. laws.

1.2 Supplier shall inform their employees, agents, representatives, suppliers, subcontractors and any role alike who directly or indirectly transact business with Buyer or on Buyer's behalf of their responsibilities to avoid bribery or corruptive behaviors. Under no circumstances may Supplier offer any payment, promise to pay, or authorization to pay any money, gift or anything of value to Buyer or on Buyer's behalf that is intended to influence Buyer's business decisions.



機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: Doc. No.:	STQ-P1005 STQ-P1005	頁次: 38/42 Page: 38/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

1.3 Supplier shall periodically evaluate, verify and self-certify that it is not involved in and comply with all applicable laws regarding related party transactions, fictitious transactions, deceptions and corner-cuttings.

2. Social and Environmental Responsibility

2.1 Supplier shall thoroughly recognize, comprehend, adopt and commit to the compliance with “Responsible Business Alliance Code of Conduct” (“RBA”) and its subsequent updates. The latest full RBA provisions is available at: <http://www.responsiblebusiness.org/>.

2.2 Supplier shall recognize that RBA establishes standards regarding issues on labor, health and safety, environment, and business ethics, which aim to ensure that working condition is safe in the electronics industry or industries in which electronic is a key component, and that business operations are environmentally responsible and conducted ethically. To adopt RBA, Supplier shall declare its support for RBA and actively pursue conformance to RBA and its standards in accordance with a management system as therein.

3. Conflict-Free Minerals

3.1 Supplier shall recognize that armed rebel organizations in the Democratic Republic of the Congo (DRC) and its surrounding regions operate through metal mining and trading invoke serious social and environmental problems, including human right violations, armed conflict, and international disputes.

3.2 As a corporate citizen responsible for protecting human rights and ameliorating armed conflicts in DRC and its surrounding regions, Supplier is required to take due diligence within its supply chain to assure “Conflict-Free Minerals” with respect to gold (Au), tantalum (Ta), tungsten (W), tin (Sn), cobalt (Co), mica used in its products sold, transferred or delivered to Buyer are not derived from or sourced from the foregoing areas.

3.3 Supplier shall acknowledge that areas not confirmed to be “Conflict-Free Minerals” include direct exports from the DRC, as well as exports through Angola, Burundi, Central African Republic, Republic of Congo, Rwanda, South Sudan, Zimbabwe, Uganda, Tanzania, Kenya, and Zambia (countries of whom the U.N. Security Council note are global export routes for DRC-mined minerals).

4. Trade Compliance

4.1 Supplier shall incessantly keep track of latest updates to ensure its compliance with all applicable Export Control Laws and Regulations, and shall completely and correctly notify Buyer of all such Export Control Laws and Regulations applicable to the supply, transfer or delivery to Buyer of Supplier’s products or goods.

4.2 Supplier shall not engage in any illegal, improper, anti-competitive or unfair business activities.



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

供應商評鑑管理流程(Supplier Evaluation and Management Process)

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 39/42 Page: 39/42

5. Non-infringement Products/Goods

Supplier shall warrant that each of the product/good supplied, transferred or delivered to Buyer must not infringe, induce infringement of, or contribute infringement of any foreign or domestic intellectual property rights of any third party.

6. Prohibition against Silica-Based Products Involving Human Rights Violation

6.1 Supplier shall enhance its scrutiny regarding anti-forced labor compliance by documenting the source and origin of silica-based inputs within Supplier's supply chain. Such documentation (e.g. certificate of input origin, list of input suppliers) shall be duly provided to Buyer upon request in response to customs authority's investigation (e.g. U.S. CBP detention under Withhold Release Order) of any item involved with Supplier's product/good.

6.2 Supplier shall warrant that, any of the silica-based products, components or materials supplied, transferred or delivered to Buyer must not be made by using forced labor, child labor, or any measure in violation of human rights.

6.3 Supplier shall also warrant that, any of the intermediate goods or finished goods supplied, transferred or delivered to Buyer must not be incorporated with, derived from or produced by using any silica-based product, component or material which is non-compliant with the foregoing section.

6.4 Supplier shall periodically update and review information regarding silica-related manufacturers subject to forced labor allegation. Buyer further encourages Supplier, on a voluntary basis, to mitigate compliance risk in its supply chain by sourcing polysilicon materials outside of Xinjiang. (For a convenient reference, certain entities in violation of human rights may be found at:

<https://www.federalregister.gov/documents/2021/06/24/2021-13395/addition-of-certain-entities-to-the-entity-list>)

7. Green Procurement

Supplier shall fulfill its responsibilities as a global citizen by carrying out green procurement, and requiring its next-tier suppliers to cooperate with the following principles:

- i. The supplied products/goods shall comply with applicable environmental laws both domestically and abroad (such as RoHS, REACH and WEEE).
- ii. Prioritize the procurement of products designated with officially recognized Green Label (e.g., Energy Saving, Water Saving, Green Building Materials).

本文件為環球晶圓股份有限公司財產非經公司授權任何人不得影印

Document authorized by GW Co., Ltd. do not reproduce without permission. (STQ-P2012-T003-03)



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: Doc. No.:	STQ-P1005 STQ-P1005	頁次: 40/42 Page: 40/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

- iii. Supplier shall submit relevant test reports issued by an impartial third-party to assure the compliance with non-use of hazardous substances when necessary.

Declaration of the Supplier

To: GlobalWafers Co. Ltd. and its affiliate companies which outstanding voting shares are held more than 50% by GlobalWafers Co. Ltd. directly or indirectly (“Buyer”)

We, _____, as a supplier of “Buyer”, are a corporation organized and existing under the laws of _____, with a principal place of business at _____. ("Supplier")

Supplier is willing to fulfill and conduct our business pursuant to Buyer’s expectation and, having acknowledged and unconditionally agreed that Supplier may be unfavorably treated by the authorities concerned in case of any violation of applicable law, rule or regulation, or by Buyer in case of any violation of the Supplier Code of Conduct.

Supplier hereby expressly declares that:

- I. We have prudently reviewed and fully comprehend Supplier Code of Conduct provided above, and hereby commit ourselves to comply with Supplier Code of Conduct and its principles and requirements.
- II. We agree that Buyer or a third party appointed by Buyer may at any time carry out inspections or audits on our premises to verify our compliance with Supplier Code of Conduct. We are willing to provide Buyer upon request with a written self-assessment regarding compliance with Supplier Code of Conduct as required by Buyer for auditing purpose within five business days after receiving such a request.
- III. Pursuant to Section 4.1 of the Supplier Code of Conduct, we hereby completely and correctly notify to Buyer our supply, transfer or delivery of _____ (names of Supplier’s products or goods) —

Whether or not the products/goods are subject to the US Export Administration Regulations (EAR)?
 YES NO

If the answer is “YES”, please state the ECCN(s): _____.

- IV. In case of any breach of compliance with Supplier Code of Conduct, we agree that Buyer has the right to immediately and without reason or condition terminate the business relationship without assuming any liability



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 41/42 Page: 41/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

or damages to us. We also acknowledge that Buyer holds the right for any legal action against relative laws or regulations that may be subject to prison sentence and/or penalties.

- V. We shall indemnify, hold harmless, and defend Buyer and its respective officers, directors, employees and agents against any and all costs, damages, settlement payments, and fees (including, but not limited to, attorneys' and other professionals' fees) attributable to any claims for, allegations of or executive sanctions on any violation of applicable laws or regulations arising out of or in connection with our failure to perform our obligations under this Declaration.

- VI. We are willing to report to Buyer promptly to whistleblower@sas-globalwafers.com with details any red-flag against Supplier Code of Conduct provided above initiated by any internal or external stakeholder of Buyer.

Again, we are committed to the highest level of compliance with **Supplier Code of Conduct, and will fulfill and conduct our business in a manner that is consistent with this Declaration.**

Supplier: _____

Signature: _____

Name: _____

Title: _____

Date: _____



環球晶圓股份有限公司

GlobalWafers Co., Ltd.

機密等級 Security Level	限閱 Restricted	版本: 35 Rev: 35
文件編號: STQ-P1005 Doc. No.: STQ-P1005		頁次: 42/42 Page: 42/42

供應商評鑑管理流程(Supplier Evaluation and Management Process)

Vendor Survey

評核項目 Evaluation	量化標準 Quantitative Criteria	分數 Score	供應商自評 Vendor-evaluation
企業之國別/ 主要營運所在地 ⁴ (Location of company) (30%)	第 1-30 名 (Rank: No.1-30)	100	
	第 31-60 名 (Rank: No.31-60)	75	
	第 61-100 名 (Rank: No.61-100)	50	
	第 100 名之後 (Rank: No.100~)	0	
企業所營業務 (Type of Business Operations) (20%)	非屬以下例示產業且風險依經驗法則為低者 (Others and lower risk)	100	
	金融服務、科技、軟體、健康服務 (Financial services, Technology Industry, Health services)	90	
	製造業及代工廠、航太、國防、交通運輸、通訊業 (Manufacturing industry, OEM, Aerospace industry, defense industry, Transport industry, Communications industry)	75	
	提煉業 (礦產、石油、氣體)、工程營造業 (Refining industry (Mineral, Petroleum, Gas), Construction Industry)	60	
信譽 (Credibility) (50%) ⁶	是否訂定誠信經營政策且對外宣示 (Has your company adopted and made public an ethical management policy? (Please specify such website or any publicly accessible medium as evidence.))	Yes No	100 0
	是否曾涉賄賂或非法政治獻金不誠信行為 (Does your company have a record of involvement in unethical conduct such as bribery or illegal political contributions?)	Never Had been	100 0
	是否曾涉智財侵權爭議且受不利結果 (和解賠償、司法確定判決等) (Has your company been involved in any intellectual-property infringement dispute with an unfavorable outcome (e.g., settlement, final court decision, etc.?)	Never Had been	100 0
	是否曾涉競爭法爭議且受不利結果 (行政處分、司法確定判決等) (Has your company been involved in any antitrust issue with an unfavorable outcome (e.g., administrative order, final court decision, etc.?)	Never Had been	100 0
	是否簽署本公司制式「供應商承諾書」 (Did your company sign the standard "Supplier's Declaration on Compliance with Procurement Guidelines" as required by GlobalWafers?)	Yes No	100 0

GWC 覆評 (GWC internal use)			
供應商誠信評核: (Vendor Survey)			
評核項目 (Evaluation)	(1) 企業之國別/主要營運所在地(30%) (Location of company)	(2) 企業所營業務(20%) (Type of Business Operations)	(3) 信譽(50%) (Credibility)
分數 (Score)			
總分/風險等級 (Total score/Risk level)	/		
經辦員 (buyer)			

低: 90 以上為低度風險之供應商。

中: 80 分以上, 未滿 90 分為中度風險之供應商。

高 (high): 未滿 80 分為高度風險之供應商。

⁴ 以公司董事或行政部門所在地為準。

⁵ <https://zh.wikipedia.org/wiki/%E8%B2%AA%E6%B1%A1%E6%84%9F%E7%9F%A5%E6%8C%87%E6%95%B8>

⁶ 五子小題者得分先加總, 除以 5, 再乘以權重。