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

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

Material:
*電腦/ Internet system;
*文具/傳真機/影印機;
*交通工具;
*電話;
*數位相機/相機.
*PC/ internet system
*Stationery/ fax machine/ copy machine
*Transportation
*Telephone
*Digital camera/ camera

Man:
*具有品質系統管制知能之品保人員;
*熟悉品質系統管制及產品研發之 RD 人員;
*熟悉生產流程作業之生產單位主管;
*熟悉品質系統管制之環安人員.
*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;
*供應商.
P.S.:以上人員(除環安人員)必須具有供應商稽核員資格。
*Quality assurance personnel who have competence for quality system control.
*R&D personnel who are familiar with quality system control and product development.
*Production supervisor and manager who are familiar with production process and operation.
*Environment safety personnel who are familiar with quality system control.
*Purchasing personnel who are familiar with purchasing procedure/supplier management/sample approval process/ quality system control/good skills in price inquiry, comparison, and negotiation.
*Supplier
P.S.: Personnel mentioned above (except environment safety personnel) must be qualified as supplier auditors.

Input:
*通過樣品作業程序之供應商.
*設計圖/圖面/規格/APQP.
*Suppliers passed sampling procedure.
*Design drawing/ drawing/ specification /APQP.

Process:
供應商評鑑管理流程
Supplier evaluation and management process
Owner:
採購部/資材處
Procurement Department/ Logistics Division

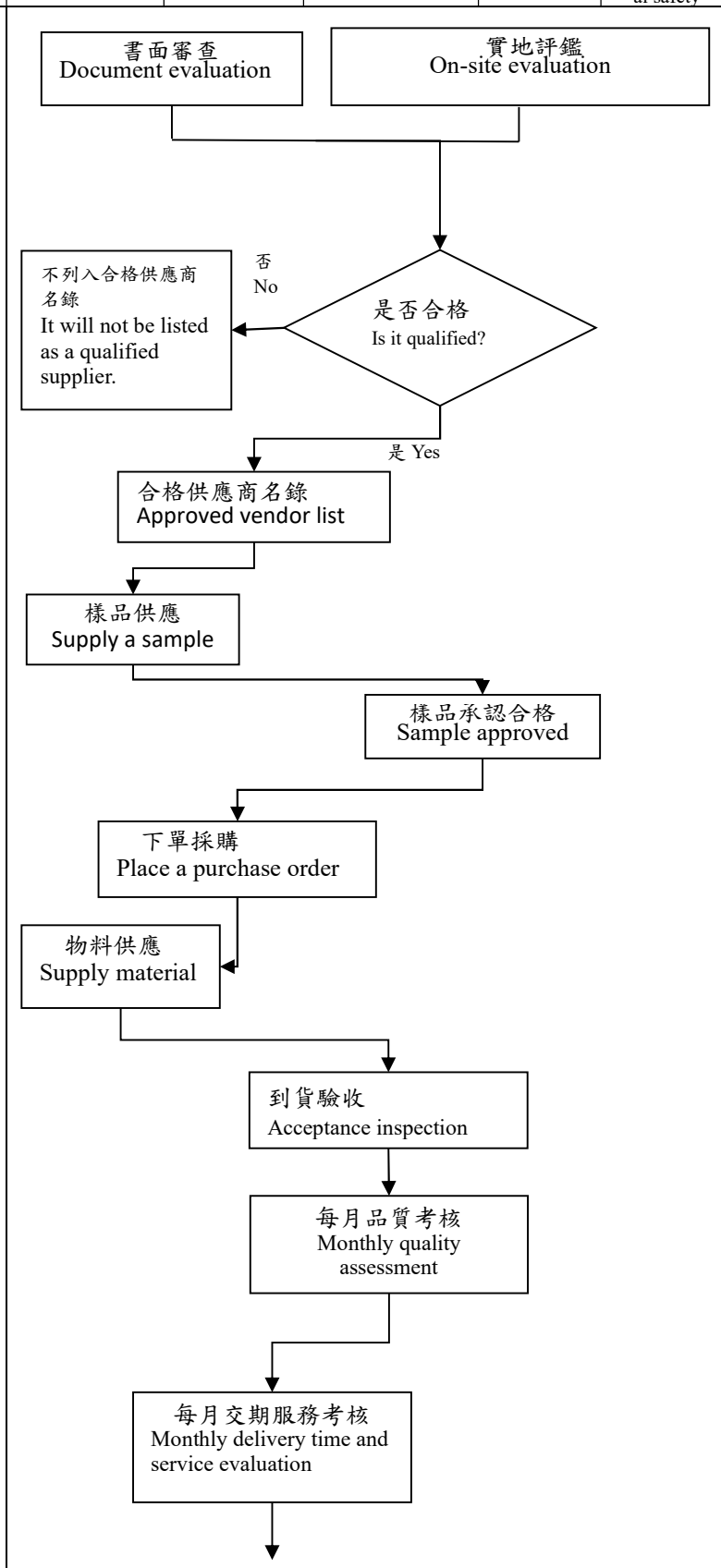
Output:
*合格供應商名錄;
*評鑑考核記錄.
*Approved vendor list
*Assessment and evaluation record

Method:
*供應商問卷調查表;
*供應商環安衛評核表
*廠商基本資料表;
*書面評審;
*實地評鑑(指有工廠或生產線)達乙等以上者;
*出示有效證明 ISO 9001 或 IATF16949 同等國際標準品質認證合格.
*Vendor survey
*Environmental, safety & health management system assessment
*Company profile & bank information
*Document evaluation
*On-site audit (if there is a factory or production line) achieves level B or above.
*Presenting valid certificate of ISO 9001 or IATF16949 or similar international standard quality certification.

Monitor:
*供應商品質系統認證追蹤調查表;
*供應商環安衛評核表;
*供應商交貨品質/交期/服務評分表/月;
*年度供應商考核評等表/年;
*品質月會檢討;*生產中斷;*退貨件數統計.
Risk:
*主要原物料廠商集中,造成進料集中,增加進料風險(避免採購單一區域生產供應商)
*沒有 ISO 證書主要/次要原物料廠商品質異常風險程度高。(輔導廠商取得 ISO 證書)
*Supplier quality system certification follow-up sheet
* Environmental, safety & health management system assessment
*Supplier delivery quality/delivery time/ service evaluation form/ month
*Annual supplier performance evaluation form/ year
*Quality monthly meeting review
*Production interruption
*Statistics of returned goods
Risk:
*The focus of the major raw material suppliers causes the centralization of the in-coming materials, and it increases the risk of in-coming materials (avoid purchasing from the suppliers with single production sites).
*With no ISO certificate, the risk on quality from the manufacturers for major/ minor materials is higher. (supervising manufacturers to obtain ISO certificate)

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



一.合格供應商品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,
A)書面評審
B)實地評鑑
評鑑合格之供應商須是財務健全者,商譽良好者.

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.
A) document evaluation
B) On-site audit
Suppliers who pass evaluation must be ones with sound financial situation and with good reputation.

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.

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.

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;

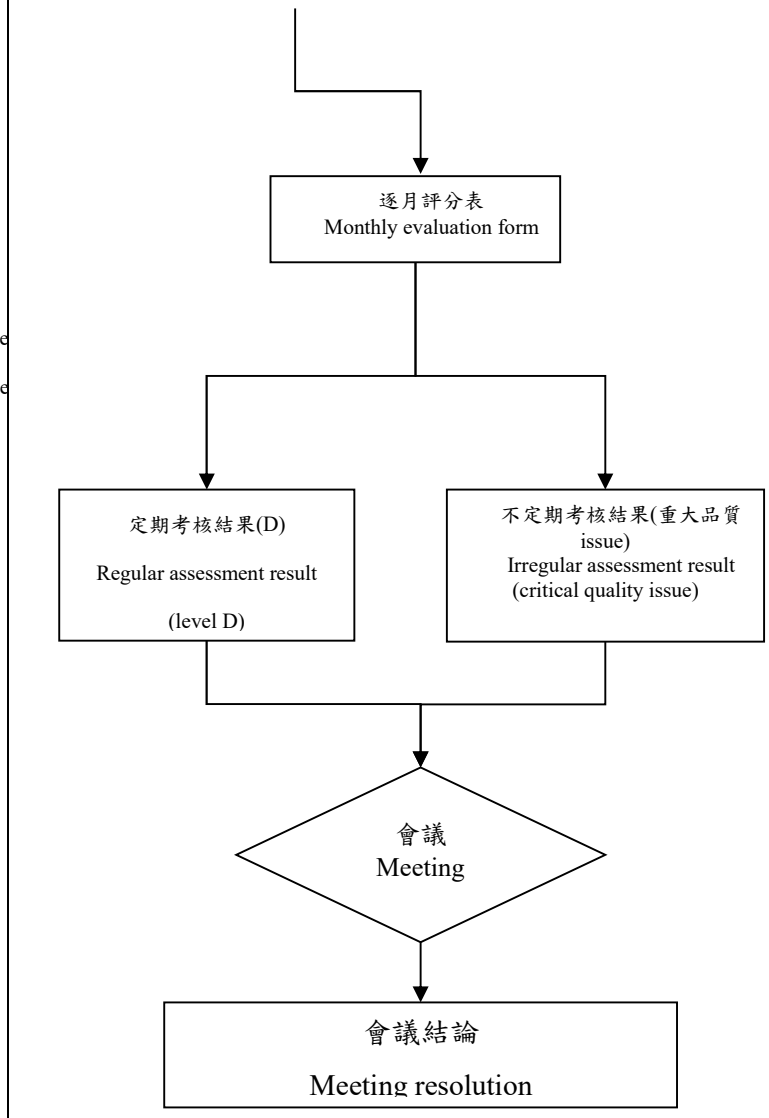
3. Implementation of supplier assessment:
1) Every month, quality assurance department shall fill the quality assessment scores into supplier delivery quality/ delivery time/ service evaluation form and forward it to purchasing section.
2) Procurement department is responsible for filling in the delivery 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.

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.

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

表單憑證 Form required	權責部門 Accountable Department
供應商(問卷)調查表 Supply (questionnaire) survey sheet	採購/品保/研發/生產或環安等人員 Purchasing /quality assurance/ R&D/ production or environmental safety personnel
供應商品質管理系統調查表 Supplier quality management system survey form	
供應商環安衛評核表 Supplier environment-safety-health evaluation form	供應商 Supplier
合格供應商品名錄 Approved vendor list	採購 Procurement
樣品承認書 Sample approval form	研發 R&D
採購單 Purchase order	採購 Procurement
	供應商 Supplier
進料驗收流程 Process of in-coming material acceptance inspection	品保 Quality Assurance
供應商交貨品質/交期/服務評分表 Supplier delivery quality/ delivery time/ service evaluation form	品保/採購 Quality Assurance/ Procurement

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		
五.人員: 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. 六.供應商資格評量 1)月評等為 D 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).		供應商交貨品質/交期/服務評分表 Supplier delivery quality/ delivery time/ service evaluation form 不合格供應商處置單 Disqualified supplier handling sheet	品保/採購 Quality Assurance / Procurement

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.

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；

— 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。

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，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。

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.).

5.1.10 產品有害物質管制

為符合國際有害物質相關管理法規、客戶綠色產品採購之要求之規範、降低環球晶圓股份有限公司產品對環境之衝擊、提昇產品競爭力並善盡社會責任。

This procedure is set forth in order to comply with relevant international management regulations of hazardous materials, customer procurement requirements of green products to reduce the environmental impacts of GlobalWafer Co.,Ltd. products, to raise product competitiveness and to better fulfill corporate society responsibilities.

5.1.10.1 列管供應物料為 Poly、Dopant、坩堝及成品出貨至客戶端時所需之包裝材（指產品包裝盒/箱，或於搬運過程中保護產品者）、Shipping box (wafer cassette, PS box…etc.)、防靜電鋁箔袋、透明袋(PE bag)、緩衝材、紙箱、標籤紙、棧板、打包帶、乾燥劑等之供應商。

5.1.10.2 列管之新供應商或於供貨期間遇產品規格改變時，供應商需填寫「有害物質管制使用情形聲明

書」(SIE-P1020-T001)，始得開始供貨。

5.1.10.3 每年更新「有害物質管制使用情形聲明書」(SIE-P1020-T001)、「產品有害物質檢測報告」。供應Poly、Dopant、坩堝之供應商，不在此限，惟其仍應提供「有害物質管制使用情形聲明書」(SIE-P1020-T001)。

5.1.10.4 如本公司進行「有害物質管制一覽表」（SIE-P1020-T003）修訂，本公司將以 e-mail 通知列管之供應商進行環球晶圓「有害物質管制一覽表」（SIE-P1020-T003）之符合性確認；供應商應於收受 e-mail 後 14 個工作日內回覆「供應商文件簽收單」(SIE-P1020-T004)，如無法符合本公司規定者，亦應於回覆時告知，由採購召集環安、品保部門討論作成決議，將其結果回填於環球晶圓股份有限公司供應商有害物質管制資料(SIE-P1020-T002)留下記錄。

5.1.10.5 如本公司進行「有害物質使用情形聲明書」(SIE-P1020-T001)改版，本公司將通知列管之供應商回簽新版「有害物質使用情形聲明書」(SIE-P1020-T001)。

5.1.10.1 Items subject to control include Poly, Dopant, Crucible, and Packing material (packing boxes, product cartons, or protective packing materials for shipment), wafer cassette (CP, UP, SEP), anti-static foil bag (PE bag), cushion material, carton, label paper, pallet, binding strap, desiccant, etc. required for delivery of product to the customer end.

5.1.10.2 For new supplier for controlled items or when changes are made in product specifications during the delivery period, such supplier shall complete the “Declaration on controlled use of Hazardous Substances” (SIE-P1020-T001).

5.1.10.3 Vendor should update the " Declaration on controlled use of Hazardous Substances " (SIE-P1020-T001) and " Product Hazardous Substance Test Report " every year. Suppliers who supply Poly, Dopant, and crucibles are not subject to the foregoing rule but need to update the " Declaration on controlled use of Hazardous Substances " (SIE-P1020-T001).

5.1.10.4 In case where GWC needs to revise the “GWC Hazardous Substance Control list” （SIE-P1020-T003）, GWC will notify suppliers by email to verify their compliance with “GWC Hazardous Substance Control List” (SIE-P1020-T003). Suppliers should reply to GWC's "Supplier Document Reception Form"(SIE-P1020-T004) within 14 working days after the email notification and explain otherwise if they cannot meet GWC's requirements. The Purchasing Department will convene the Environmental Safety and Quality Assurance Departments to discuss and backfill the results to Hazardous Substance Control Data of GWC Branch Suppliers (SIE-P1020-T002) for record.

5.1.10.5 In case where GWC needs to update the “Declaration on controlled use of Hazardous Substances” (SIE-P1020-T001) , GWC will notify suppliers to sign back the updated “Declaration on controlled use of Hazardous Substances” (SIE-P1020-T001).

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 Based on the ranking of the country listed on latest version of Corruption Perceptions Index (CPI)	第 1-30 名 Tope 1-30	100
		第 31-60 名 31st-60th	75
		第 61-100 名 61st-100th	50
		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
(3) 企業所營業務(5%) Main business of the enterprise (5%)	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
	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 judgment decision...etc.)	從未 Never	100
		曾有 Yes	0
	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。Suppliers with lower transaction risk. 定期稽核總分加權 10%。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計變更紀錄，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:

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
A	80(含)分以上	列入合格供應商

	Above 80 points (included)	Listed as a qualified supplier
B	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.
C	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，應在每年第一季召開會議，出席人員為品保、採購、研發與環保人員，依據年度評核項目一同定義出「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 1 st quarter every year. The attending personnel shall include quality assurance, purchasing, R&D, and environmental protection personnel to define the "Annual Audit Plan" (STQ-P1005-T007) based on the annual assessment items 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 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.

5.4.1.1 年度評核項目 Annual assessment

A. 年度供應商考核評等，甲等得 1 分，乙等得 2 分，丙等得 3 分，丁等得 4 分；

B. 供應主要原物料廠商得 2 分，次要原物料得 1 分；

C. 當年度產生 1 件 VCAR 得 3 分，無 VCAR 得 1 分；

D. 1~2 年內有稽核紀錄得 1 分，3~4 年內有稽核紀錄得 2 分，5 年以上有稽核紀錄得 3 分。

A. Annual supplier evaluation and rating, grade A 1 point, grade B 2 points, grade C 3 points, grade D 4 points;

B. The main raw material supplier gets 2 points, and the secondary raw material gets 1 point;

C. 3 points for 1 VCAR in the year, 1 point for no VCAR;

D. 1 point for audit records within 1~2 years, 2 points for audit records within 3~4 years, 3 points for audit records over 5 years.

5.4.1.2 考核之執行 Implementation of assessment

依據年度評核項目加總得分(含)6 分者，須列入年度供應商稽核計畫表。

For any supplier rated with the total score of (including) 6 points according to the annual assessment items, it must be included in the annual supplier audit plan.

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 suppler 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.

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 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 >=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. 在客戶端接收工廠的生產中斷，包括成品在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：

E. 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。

F. 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:

E. 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.

F. 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.

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；

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	65	品管 Quality assurance
交期 Delivery	15	採購 Purchasing
服務 Service	20	採購 Purchasing

5.5.1.3 考核方式 Assessment method

A. 品質＝

評分項目 Score Item	評分定義 Score definition	得分 Score	備註 Remarks
IQC LRR (15 分)	LRR:0%	15	(退料總批數/進料總數)*100%
	LRR:>0%~≦0.5%	8	
	LRR:>0.5%~≦1%	6	
	LRR:>1%~≦2%	4	
	LRR:>2%	0	
製程反饋異常 Process Abnormal (15 分)	VCAR 判定非供應商問題 The abnormal issue is not caused by the supplier.	15	
	VCAR 判定為供應商問題 The abnormal issue is caused by the supplier.	0	
VCAR 回覆時效性 Response rate corresponding score (10 分)	D3~D7 <10 working day	10	
	D3~D7 <15 working day	8	
	D3~D7 <20 working day	6	
	D3~D7 >20 working day	0	
客戶端異常反饋 Customer Complaint (15 分)	8D CAR Case=0	15	
	8D CAR Case≧1	0	
再發性(Within 1years) Recurrent (5 分)	NO	5	相同異常原因再發 Recurrence of the same abnormality
	YES	0	
VCAR 判定為重大異常 Critical issue 5 分)	NO	5	1.來料錯誤 2.異常造成生產中斷 1. Out of spec 2. Production interruption due to abnormality
	YES	0	

*製程/客戶端反饋異常將回溯於該異常物料批號之交貨月份執行扣分作業，並依 5.5.1.6 結果處置作業執行。

Process Abnormal / Customer Complaint will be carried out retroactively to the delivery month of the batch number of the abnormal material, and the result disposal operation will be carried out according to 5.5.1.6.

B. 交期＝15%×[交期分數] Delivery＝15%×[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＝價格×10%+報價回覆效率×3%+文件正確性×5%+態度×2%

Service＝Price×10%+Quotation response efficiency×3%+Document correctness×5%+Attitude×2%

*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)

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
A	88-100
B	71-87
C	61-70
D	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).

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 A 時，視為良好廠商，不須處置。

5.5.1.6.4 考核評等為 B 時，須開立 VCAR 請供應商改善。

5.5.1.6.5 考核評等為 C 等，須開立 VCAR 請供應商改善。針對此等供應商之進料須連續追蹤其三批進料之品質交期及服務。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 考核評等為 D 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, it is considered a good manufacturer.

5.5.1.6.4 If the result of assessment rating is level B, an integrated VCAR will be issued.

5.5.1.6.5 If the result of assessment rating is level C, an integrated VCAR will be issued. The next three batches of in-coming material from this kind of suppliers must be continuously monitored with

respect to the quality, delivery, and service. 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 If the result of assessment rating is level D, it 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.

6 參考文件/表單 Attachment

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)
20. 有害物質管制使用情形聲明書 Declaration on controlled use of Hazardous Substances (SIE-P1020-T001)
21. 環球晶圓股份有限公司供應商有害物質管制資料 Hazardous Substance Control Data of GWC Branch Suppliers (SIE-P1020-T002)
22. 供應商文件簽收單 Supplier Document Reception Sheet (SIE-P1020-T004)
23. 產品有害物質管制程序 Products Hazardous Substances Procedure(SIE-P1020)
24. 有害物質管制一覽表“Hazardous Substance Control list”（SIE-P1020-T003）