

	天弘化學股份有限公司 Uranus Chemicals Co., Ltd	文件編號 Doc No. : QP040	版次 Edition : 3.7
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請依序將各版本變更內容填寫於下列表格內以利比對與追溯

生效日期	制/修訂	修改內容摘要	版次	修改者
2021/12/29	修正	供應商管理程序之文件編碼原則變更，文件編號改為 QP040，同步修正表單編號為 QFA098 供應商資料表、QFA099 合格供應商名錄、QFA100 供應商考核表。		林昕穎
2022/04/08	修正	修訂供應商管理程序： 一、依現行作業調整 5.流程權責單位 二、依現行作業調整 6.1.2 之內容 三、6.2.1、6.2.2 供應商之考核分數 四、刪除 8.附件並修改 7.相關文件參考檔案  新增供應商管理程序： 一、6.2.4 至 6.2.6 供應商稽核計畫定義標準 二、6.6 評分等級	3.2	林昕穎
2024/02/21	修正	修訂供應商管理程序： 一、新增 6.1.3 供應商評鑑內容 二、刪除 6.2.1 供應商之考核部分段落 三、刪除 6.4 由台中廠保存考核文件 四、修改 6.5 供應商之考核時間內容、表格內容修改 五、修改 6.2.4 內容 六、新增 7.4 相關表單	3.3	林昕穎
2024/04/26	修正	修訂供應商管理程序： 一、4.1 原料: 刪除已停產之錫塊及新增鈷原物料 二、6.1.2 新增敘述註明新增合格供應商須檢附的相關問卷及要求通過 ISO9001 認證，並進行風險等級評估 三、6.2.5 新增敘述須將供應商考核結果通知供應商 四、修正 7 相關文件: 7.1 供應商資料表表單編號	3.4	范北蓮
2024/07/01	修正	修訂供應商管理程序： 一、新增 4.3 客供料 二、新增 6.1.4 供應商風險評估、6.1.5 內容 三、新增 6.2.7 內容 四、新增 6.3 供應商環安衛調查	3.5	范北蓮

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2024/08/27 2024/10/22	修正	五、 依據 RMI 要求新增 7. 鈷礦採購加強盡職調查	3.6	范北蓮		
	修正	六、 修改 8. 相關文件 新增英文翻譯 因應客戶建議事項修訂供應商管理程序: 一、 修正 4.1 原物料定義 二、 新增 4.2 其他供應商: 外包商、運輸公司與管理系統相關者。 三、 新增 6.1.4 其他供應商管理評鑑 四、 修正 6.1.5 編號 五、 新增 6.1.5.g 針對原物料綠色管理，新增供應商須提供 ROHS 及 REACH 認證，若無法提供須定期簽署「不使用有害物質保證書」。 六、 修正 6.1.6 編號及內容: 當供應商原料變更及設計變更須提前 6 個月通知，其餘變更 3 個月通知本公司。			3.7	范北蓮
核准	賴清淵		審查	李家蕙	制訂	范北蓮

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### 1.目的 Purpose :

為有效管理供應商之品質、交期、價格以符合本廠生產或出貨要求。

To effectively manage supplier quality, delivery, and price to meet the production or shipping requirements of our factory.

### 2.範圍 Scope :

凡本公司之原物料供應商(含環境管理系統)均適用之。

This applies to all raw material suppliers of our company (including those with environmental management systems).

### 3.權責 Responsibilities :

如作業流程所示。As shown in the Operation process.



### 4.定義 Definition :

**4.1 原物料：**稀土(鹽)類、硝酸、鹽酸、液氨、銨水(粉)、鈷金屬及鈷中間品、鈷回收料、雙氧水、硫酸、草酸、碳(甲)酸鈉、硬脂酸(鹽)類、鐵(邊角料)、KOH、 $K_2CO_3$ 、NaOH、 $Na_2CO_3$ 、**包裝材料**。

Raw Materials: Rare earth (salts), nitric acid, hydrochloric acid, liquid ammonia, ammonium hydroxide (powder), tin blocks, cobalt metal and cobalt intermediates, cobalt recycling materials, hydrogen peroxide, sulfuric acid, oxalic acid, sodium carbonate (sodium bicarbonate), stearic acid salts, iron (scrap), KOH,  $K_2CO_3$ , NaOH,  $Na_2CO_3$ , **Packaging materials**.

**4.2 其他供應商：**外包商(委外加工廠)、運輸公司與管理系統相關者。

**Other suppliers: contractors (outsourcing manufacturers), transportation companies, and stakeholders related to the management system.**

**4.3 客供料：**客戶提供之原料，當客戶有提供時將優先使用，例如：鈷金屬。

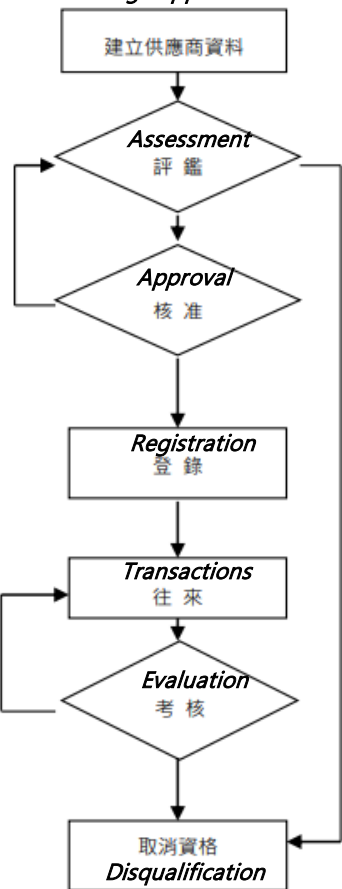
Customer-supplied materials: Raw materials provided by the customer, which will be used preferentially when provided by the customer, such as cobalt metal.

**4.4 指定購買：**當客戶有指定用料時，應向客戶指定來源採購產品、物料或服務。

**Designated Purchasing:** When a client specifies materials, the products, materials, or services should be procured from the designated source indicated by the client.

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5.作業流程 Operation Process :

流 程 Process	權 責 Responsibilities	參考資料 References	使用表單 Usage Forms
<b>Establishing Supplier Information</b> 	使用單位 <i>User Dept.</i> 採購單位 <i>Procurement Division</i>  使用單位 <i>User Dept.</i> 採購單位 <i>Procurement Division</i>  採購主管 <i>PD Manage</i>  採購單位 <i>Procurement Division</i>  使用單位 <i>User Dept.</i> 採購單位 <i>Procurement Division</i>  品管單位 <i>QA Dept.</i> 採購單位 <i>Procurement Division</i>  採購主管 <i>PD Manager</i>		供應商資料表 <i>Supplier Application Form</i>     合格供應商名錄 <i>Qualified Supplier List</i>    供應商考核表 <i>Supplier Evaluation Form</i>

6.作業內容 Operation Content :

6.1 供應商評鑑 Supplier Assessment :

6.1.1 由採購或使用單位收集有能力提供本公司原物料之有關廠商，經初步認可，填寫“供應商資料表”。

Vendors capable of supplying raw materials to our company are collected by the Purchasing or User Department. After preliminary approval, they should complete the

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"Supplier Application Form."

- 6.1.2 供應商提供之原料及物料經檢驗合格，於試用後符合品質要求，且價格合理、服務良好，則由相關人員評鑑，並請供應商回填相關問卷(供應商社會責任及行為準則、供應商品質管理系統問卷調查表、外包商供應商環安衛管理問卷調查表及 ESG 自評問卷)及要求通過 ISO9001 認證，若為金屬供應商須回填負責任礦業供應鏈盡責管理政策，呈採購主管核准後成為合格供應商，由採購單位登錄於“合格供應商名錄”，登入合格供應商名錄同時須進行風險等級評估。

Raw materials and supplies provided by suppliers are inspected for compliance. If they meet quality requirements after trial use, and if their prices are reasonable and service is satisfactory, the relevant personnel will evaluate the suppliers. Suppliers are then required to complete relevant questionnaires (including Supplier Social Responsibility and Code of Conduct, Supplier Quality Management System Survey, Outsourced Vendor Environmental, Health, and Safety Management Survey, and ESG Self-Assessment Questionnaire) and must obtain ISO9001 certification. For metal suppliers, they must also complete the Due Diligence Policy for a Responsible Global Supply Chain. After approval by the Procurement Manager, they will be listed as approved suppliers. The Procurement Division will then register them in the "Qualified Supplier List" and conduct a risk level assessment at the time of registration.

- 6.1.3 本程序制訂前交易之廠商可免評鑑，直接建立供應商基本資料，並登錄為合格供應商(電子檔-路徑\\192.168.1.10\oldpublic\Public\採購中心\【供應商稽核相關一覽表】\天弘)，爾後依 6.2 實施考核。

Vendors who had transactions before the establishment of this procedure are exempt from evaluation and can directly establish their basic supplier information and be listed as qualified suppliers (electronic file - path \\192.168.1.10\oldpublic\Public\採購中心\【供應商稽核相關一覽表】\天弘). Subsequent evaluations will be conducted according to section 6.2.

**6.1.4 其他供應商評鑑 Other Supplier Assessment:**

如包裝材供應商、外包商(委外加工廠)、運輸公司、廢棄物清除業者、服務性質之檢驗單位等，由承辦單位或使用單位確認其服務品質及單價項目後，由使

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用單位部門主管評鑑是否合格，合格則由承辦單位登錄於「合格供應商名錄」，始成為合格供應商；不合格則另尋適合之供應廠商。

*For suppliers such as packaging material suppliers, contractors (outsourcing manufacturers), transportation companies, waste disposal service providers, and service-oriented inspection units, the responsible unit or user unit will confirm the service quality and pricing. The department supervisor of the user unit will then evaluate whether they are qualified. If deemed qualified, the responsible unit will register them in the "Qualified Supplier List," making them a qualified supplier. If not qualified, suitable alternative suppliers will be sought.*

#### 6.1.5 供應商風險評估 Supplier Risk Assessment :

- a. 交易對象的選定，其前提為持久、理想、穩定，但是即使是持久交易的對象，如果對品質、交期無法忠實履行，或價格上有偏高及不利的情況時，採購人員必須對廠商提出勸告，情況若未見改善，則應考慮更換廠商，或停止交易。

The selection of trading partners is based on criteria of durability, suitability, and stability. However, even for long-term trading partners, if they fail to consistently meet quality and delivery requirements, or if there are issues with high prices or unfavorable conditions, procurement personnel must advise the supplier. If the situation does not improve, consideration should be given to replacing the supplier or discontinuing the trade.

- b. 交易對象之選定，必須考慮下列各項，以便選出對品質、交期做到忠實、充足、價廉、穩定的供應：

The selection of trading partners must consider the following factors to ensure reliable, sufficient, cost-effective, and stable supply of quality and timely products:

- (1) 經營規模、生產設備、承包能力都能符合需求。

The supplier's scale of operations, production equipment, and contractual capabilities must meet the requirements.

- (2) 產品的品質，技術水準都屬適當。

The quality and technical standards of the products must be appropriate.

- (3) 經營、財務均呈穩定信用狀況優良。

The supplier should have stable financial conditions and a good credit status.

- (4) 經營方針、經營者及負責交易有關的人員都符合資格。

The management policies, operators, and individuals responsible for transactions should be qualified.

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(5) 對本公司採購物品所持的關心及協力態度良好。

The supplier should show good concern and cooperative attitude towards the procurement of our company's products.

c. 盡可能與製造業者直接交易，如因採購政策或對方銷售組織上原因而需要中間廠商介入時，應以信用最高的代理商或特約商為交易對象。

Preferably engage directly with manufacturers. If intermediaries are necessary due to procurement policies or sales organization reasons, choose the most reputable agents or authorized dealers.

d. 交易對象的選定態度上應本嚴正、公平而不徇私的積極態度。

The selection of trading partners should be conducted with a strict, fair, and impartial approach.

e. 交易對象的選定，務必盡可能廣作市場調查。

Conduct extensive market research to ensure a broad selection of potential trading partners.

f. 針對鈷原料「CAHRAS 識別評估表」之結果，若供應商為 CAHRAS，且無第三方盡責管理評鑑合格之報告，或無證據顯示供應商有意願進行相關審核或評鑑，則無法成為新的合格供應商。

For cobalt raw materials, if the supplier is CAHRAS and lacks a third-party due diligence management evaluation report or evidence of willingness to undergo relevant audits or evaluations, they cannot be considered a new qualified supplier.

g. 針對原物料綠色管理: 新增供應商須提供 RoHS 及 REACH 認證，若無法提供相關文件，供應商應定期簽署「不使用禁用物質保證書」由採購單位留存。

*For the green product management of raw materials: New suppliers must provide RoHS and REACH certification. If they are unable to provide the relevant documents, suppliers must regularly sign a "Certificate of Non-use for Hazardous Substances" which will be retained by the purchasing department.*

**6.1.6 採購人員需告知原物料及包材供應商，原物料變更及製程變更須提前 6 個月通知，其餘變更 3 個月通知本公司，如產品即將 EOL 或 EOS 供應商須提前 12 個月通知，並由採購人員開立工程變更單通知相關部門，任何變更仍須符合本公司進料檢驗規範，並實施必要管制及審查。**

*Procurement personnel must inform raw material and packaging suppliers that any changes to raw materials or manufacturing processes require a 6-month advance notice, while all other changes require a 3-month advance notice to our company. If the product is approaching End of Life (EOL) or End of Support (EOS), the supplier must notify us 12*

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months in advance. The procurement personnel will issue an Engineering Change Order to notify the relevant departments. Any changes must still comply with our company's incoming inspection standards, and necessary controls and reviews must be implemented.

## 6.2 供應商之考核 Supplier Evaluation :

6.2.1 本公司登錄合格之供應商，每年由採購以“供應商考核表”實施考核，成績 70 分 ( 含 ) 以上者為合格。

Qualified suppliers registered with our company are evaluated annually by the Purchasing Department using the "Supplier Evaluation Form." Suppliers scoring 70 points or above (inclusive) are considered qualified.

6.2.2 原物料供應商年度評鑑，得分在 70 分以下者，進行稽核作業。

Annual Evaluation of Raw Material Suppliers: Suppliers scoring below 70 points will undergo an audit.

6.2.3 經考核不合格者，由採購人員呈採購主管核可後，取消供應商資格，經取消資格之供應商待改善後，得重新申請評鑑。

Suppliers who do not pass the evaluation will have their qualification canceled upon approval by the Purchasing Manager. Disqualified suppliers may reapply for evaluation after making necessary improvements.

6.2.4 由品保單位主導訂定稽核計畫，將供應商依材料類別區分為主材料、輔材料及包裝材。優先選擇考核成績為『D 等』之供應商，或年度重大缺失之供應商進行實地稽核，依「供應商評鑑資料表」邀請各相關單位共同執行，進行工程監察或系統&流程評鑑。供應商稽核頻率可視業務狀況及品質績效作加嚴或延長之調整，若因供應商本身已具相當規模或因故無法親身至工廠稽核者，得以 ISO9001 證書取代。

The Quality Assurance Department will lead the development of the audit plan, categorizing suppliers into primary materials, secondary materials, and packaging materials. Priority will be given to suppliers with a "D" grade or those with significant issues during the year for on-site audits. The "Supplier Evaluation Form" will be used to invite relevant departments to conduct engineering inspections or system and process evaluations. Audit frequency may be adjusted based on business conditions and quality performance. For suppliers that are large-scale or cannot be audited on-site, ISO9001 certification may be used as an alternative.

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6.2.5 原物料及包材之合格供應商，每年一月由相關人員針對前年進貨次數三次以上者進行年度考核，並列入「供應商考核表」中，採購人員須將考核結果通知供應商以便進行雙向溝通，期間若有不合格情事者，當立即處理並監控。

Qualified suppliers of raw materials and packaging materials will be assessed annually in January by relevant personnel based on the number of purchases made in the previous year (three or more). The results will be included in the "Supplier Evaluation Form," and procurement personnel must notify the suppliers of the results for mutual communication. Any issues identified must be addressed immediately and monitored.

6.2.6 進行廠商評鑑時，應針對供應商品質水準、價格水準、交期水準及其他因素(如溝通情況、售後服務、異常狀況處理，研發水準)等進行評鑑。經評鑑人員評定後，呈送所屬權責主管核准後，送到採購部門彙總歸檔。

When evaluating suppliers, consider factors such as quality level, pricing level, delivery performance, and other aspects (e.g., communication, after-sales service, handling of anomalies, research and development levels). After evaluation, the results will be submitted for approval by the responsible supervisor and then compiled and archived by the Purchasing Department.

6.2.7 客戶提供之原物料，因無法提供品質、數量及交貨期之保證，故不列入供應商考核項目。若發現品質、數量有問題會先回報客戶，遵循合約內容處理。

Raw materials provided by customers are not included in the supplier evaluation process, as there is no guarantee of quality, quantity, or delivery time. If any issues with quality or quantity are discovered, they will first be reported to the customer and handled according to the terms of the contract.

### 6.3 供應商環安衛調查 Supplier Environmental, Health, and Safety (EHS) Survey :

#### a. 須做環安衛評鑑之對象 Entities Subject to EHS Evaluation :

適用於供應商其提供產品及服務被判定為顯著環境考量或有不可接受風險之原物料/外包商供應商，每三年調查一次。

Suppliers whose products and services are deemed to have significant environmental considerations or unacceptable risks, including raw material suppliers and outsourced vendors, must undergo an EHS survey every three years.

#### b. 供應商如通過 ISO14001 或 ISO45001 之驗證廠商可免於評核，但須提供證明之文件。

Suppliers certified to ISO14001 or ISO45001 are exempt from the evaluation but must

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provide proof of certification.

- c. 關於運輸車輛危險物品標誌及標示應依據「化學品管理辦法」辦理。

The labeling and signage for hazardous materials transported by vehicles must comply with the "Chemical Management Regulations."

#### 6.4 下列供應商免予考核 Suppliers Exempt from Evaluation :

6.4.1 專利產品。Patented Products.

6.4.2 獨佔或寡佔產品。Exclusive or Dominant Products.

6.4.3 關係企業。Affiliated Companies.

6.4.4 國外供應商。Foreign Suppliers.

6.4.5 建材五金、修配保養五金及庶務用品類之供應商。

Suppliers of Building Materials, Hardware, Maintenance and Repair Parts, and General Supplies.

6.4.6 客供品原料。Customer-Supplied Raw Materials.

#### 6.5 供應商之考核時間：於隔年一月底之前實施。

Supplier Evaluation Timing: To be conducted before the end of January of the following year.

考核項目 Evaluation Items		考核標準 Evaluation Criteria	責任單位 Responsible Unit
品質 Quality	30%	異常進貨批數/進貨總批數 $\leq 5\%$ <i>Number of Abnormal Purchase Orders / Total Number of Purchase Orders <math>\leq 5\%</math></i>	品保單 QA Dept.
價格 Cost	15%	價格高於市場行情：5 分 <i>Price Higher Than Market Rate: 5 points</i> 價格與市場行情相符：10 分 <i>Price in Line with Market Rate: 10 points</i> 價格低於市場行情：15 分 <i>Price Lower Than Market Rate: 15 points</i>	採購單位 Procurement Division

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	5%	付款條件 <i>Payment Terms:</i> ≥ 月結 97 天 : 5 分    ≥ 97 Days from End of Month: 5 points ≥ 月結 67 天 : 4 分    ≥ 67 Days from End of Month: 4 points ≥ 月結 37 天 : 3 分    ≥ 37 Days from End of Month: 3 points ≥ NET 30 天 : 2 分    ≥ NET 30 Days: 2 points ≤ NET 30 天 : 1 分    ≤ NET 30 Days: 1 point	採購單位 <i>Procurement Division</i>
交期 <i>Delivery Time</i>	20%	1、延遲交貨批數/進貨總批數 ≤ 1% (每增加 1% 扣 2 分) <i>Number of Late Deliveries / Total Number of Purchase Orders ≤ 1% (Deduct 2 points for each additional 1% above 1%)</i> 2、協助急單需求安排提早出貨 (每一筆 加 2 分) <i>Assistance with Urgent Orders for Early Shipment (Add 2 points for each instance)</i>	採購單位 <i>Procurement Division</i>
服務 <i>Service</i>	10%	服務滿意度 / 異常處理回饋效率 <i>Service Satisfaction / Response Efficiency for Handling Issues</i> ♦ 優良 10-8 分 ♦ 滿意 7-5 分 ♦ 一般 3-1 分 ♦ 差劣 0 分 ♦ <i>Excellent: 10-8 points ♦ Satisfied: 7-5 points ♦ Average: 3-1 points ♦ Poor: 0 points</i>	採購單位 <i>Procurement Division</i> 需求單位 <i>Requesting Unit</i>
其他 <i>Other</i>	10%	1、取得 ISO 證書或品質相關證書。 <i>Obtain ISO Certification or Quality-Related Certifications.</i> 2、落實我司供應商社會責任及行為準則，並回簽宣告書。 <i>Implement Our Company's Supplier Social Responsibility and Code of Conduct, and sign the declaration.</i>	採購單位 <i>Procurement Division</i>

#### 6.6 評分等級 Scoring Levels :

a.等級：A 等= 100~90 分、B 等=89~ 80 分、C 等=79~70 分、D 等=69 分以下。

Grades: Grade A = 100~90 points, Grade B = 89~80 points, Grade C = 79~70 points, Grade D = Below 69 points.

b. A 等之供應商優先考慮增加訂單，B 等之供應商不增減訂單，C 等之供應商減少訂單，連續 2 次 D 等之供應商撤銷合格供應商資格。經考核不合格者，由採購人員呈採購主管核可後，取消資格，經取消資格之供應商待改善後，得重新申

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請評鑑。

Grade A: Suppliers will be given priority for increased orders, Grade B: Suppliers will have no changes to their order volume, Grade C: Suppliers will have their orders reduced, Grade D: Suppliers will have their qualification status revoked after two consecutive evaluations with Grade D.

Suppliers who fail the evaluation will have their qualification canceled upon approval by the Procurement Manager. Disqualified suppliers may reapply for evaluation after making necessary improvements.

#### 6.7 國內外原料綠色產品管理:

### 7. 鈷礦採購加強盡職調查 Strengthening Due Diligence for Cobalt Mining Procurement

#### 7.1 相關鈷原料供應商每年以「CAHRAs 識別評估表」進行高風險區域 CAHRAs (Conflict-Affected and High-Risk Areas)之評估，施行辦法參照「QP048 負責任礦產供應鏈風險管理程序」。

Annual High-Risk Area Assessment: Cobalt raw material suppliers must annually assess high-risk areas (Conflict-Affected and High-Risk Areas, CAHRAs) using the "CAHRAs Identification Assessment Form." Follow the procedures outlined in "QP048 Responsible Mineral Supply Chain Risk Management Procedure."

#### 7.2 依據「QP047 負責任礦產供應鏈盡職管理程序」4.3 之要求，針對列為 CAHRAs 之相關鈷原料供應商每年進行加強盡責調查，供應商需另外填具供應商調查表

「Supplier Questionnaire」、The Conflict Minerals Reporting Template (CMRT) 及提供進一步風險緩解資訊，藉以完整鈷採購管理架構，並用以擴大檢視鈷供應鏈，持續確保無違反 OECD 規範之情事發生。

Requirement: In accordance with "QP047 Responsible Mineral Supply Chain Due Diligence Procedure" section 4.3, conduct enhanced due diligence annually for cobalt raw material suppliers listed as CAHRAs.

Documentation: Suppliers are required to complete the "Supplier Questionnaire," the Conflict Minerals Reporting Template (CMRT), and provide additional risk mitigation information.

Purpose: This is to ensure a comprehensive cobalt procurement management framework and to expand the review of the cobalt supply chain, continually ensuring no violations of OECD guidelines occur.

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7.3 天弘公司「QP049 負責任礦業供應鏈盡責管理政策」除揭露於官網上外，針對鈷原料供應商將提供其「QP049 負責任礦業供應鏈盡責管理政策」及「供應商行為準則及問卷調查表」簽回或回覆，以確認供應商了解公司盡責管理政策。

Uranus Chemicals "QP049 Due Diligence Policy for a Responsible Global supply chain" is publicly disclosed on the official website. Cobalt raw material suppliers will be provided with the "QP049 Due Diligence Policy for a Responsible Global supply chain " and the " Supplier Social Responsibility & Code of Conduct" for acknowledgment or response to confirm their understanding of the company's due diligence policy.

#### 8. 相關文件 Related Documents:

8.1 供應商資料表(QFA098B) Supplier Application Form (QFA098B).

8.2 合格供應商名錄(QFA099) Qualified Supplier List (QFA099).

8.3 供應商考核表(QFA100) Supplier Evaluation Form(QFA100).

8.4 負責任礦產供應鏈盡職管理程序(QP047) Responsible Mineral Supply Chain Due Diligence Procedure (QP047).

8.5 負責任礦產供應鏈風險管理程序(QP048) Responsible Mineral Supply Chain Risk Management Procedure (QP048).

8.6 負責任礦產供應鏈盡職管理政策(QP049) Due Diligence Policy for a Responsible Global supply chain (QP049).