

Intellectual Property **Right Management** **Manual**

3rd Edition

Stipulated by
Legal Division
Walsin Lihwa Corporation

Amendment

Date of Amendment	Description of Amendment
2020/8/11	The first edition was constructed.
2022/5/24	<p>The second edition was released.</p> <ol style="list-style-type: none"> 1. Revise chapter 1, 2, 4, and 6 according to the defect item 4 in the 2021 TIPS Examination report, ‘Walsin Lihwa fill the “management representative” in TIPS certification application form with chief legal officer who executed IP management for the reason that there were no “management representative” in Walsin Lihwa at that time. The following description will be verified afterwards that “The highest management level is President and chief legal officer is substitute of the highest management level.”’ 2. Revise business items in chapter 1 in accordance with resolution of the shareholders' meeting on 2021/7/15.
2024/8/5	<p>The third edition was released.</p> <ol style="list-style-type: none"> 1. Revise chapter 1 and add Appendix 1 according to the defect item 3 in the 2023 TIPS Examination report, ‘the “IPR management manual” lacks related regulations, forms and relationship description thereof ’ 2. Revise chapter 4, chapter 6 and add Appendix 1 according to the defect item 12 in the 2024 TIPS random examination, ‘Responsibility of the Management Representative is not clear in the “IPR management manual”. Division of responsibilities between Management Representatives (i.e. President) and the Legal Department shall be described in the “IPR management manual”’ 3. Revise chapter 1 Business Items in accordance with the resolution of the shareholders' meeting on May 17, 2023.

Table of Contents

Chapter 1	About Walsin Lihwa
Chapter 2	Scope of Applicability
Chapter 3	Reference
Chapter 4	Terms and Definitions
Chapter 5	Organization Environment
Chapter 6	Responsibilities of Management
Chapter 7	System Planning
Chapter 8	Support
Chapter 9	IPR Acquisition, Protection, Maintenance, and Utilization
Chapter 10	Performance Assessment
Chapter 11	Improvement
Appendix 1	Company Organizational Chart and Explanation of Responsibilities for TIPS System
Appendix 2	TIPS System Responsibilities and Regulations corresponding Table

Chapter 1 About Walsin Lihwa

- A. With commitment to R&D for innovation as well as creation of superiority and higher added values through intellectual property right (IPR) management, Walsin Lihwa Corporation (hereafter referred to as the Company) has decided to adopt the Taiwan Intellectual Property Management System (TIPS) to strengthen its competitiveness in these regards.
- B. Company Profile
- (a) Inception: December 1, 1966
 - (b) Head office: Taipei City
 - (c) Capital: NT\$65,000,000,000
 - (d) Registered business items
 - H701010: Housing and Building Development and Rental
 - E601010: Electric Appliance Construction
 - CC01020: Electric Wires and Cables Manufacturing
 - CA01010: Iron and Steel Smelt
 - CA01020: Iron and Steel Rolling and Extruding
 - CA01050: Steel Secondary processing
 - B201010: Mining of metal ores
 - ZZ99999: All business items that are not prohibited or restricted by law, except those that are subject to special approval
- C. Company organization: Please refer to the Appendix 1, Company Organizational Chart and Explanation of Responsibilities for TIPS System
- D. IPR Management System Structure
- The Company's IPR management system -- primarily based on the ISO 9001 Quality Management System -- focuses on the IPR-related systems not specified by the ISO9001 to reinforce the standards of such systems. However, the ISO 9001 standards will govern if the Company's IPR standards are already present in the ISO 9001 standards. The management system primarily follows the Plan-Do-Check-Action procedures:
- Plan: IPR management policy, objectives, and related procedures development
- (a) Do: IPR management system implementation
 - (b) Check: Results of IPR management policy implementation, relevant objectives and requirements achieved, and findings from supervision and assessment reported to the management for review
 - (c) Action: Rectification and preventive measures to be taken for ongoing IPR management system improvement
- Appendix 2: TIPS System Responsibilities and Regulations corresponding Table
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- E. Objectives of the Company's IPR management system
 - (a) Strengthen employees' IPR awareness, protect the Company's IPR outputs, improve R&D efficiency, and combine business objectives and visions to enable strategic IPR utilization for production
 - (b) Demonstrate the Company's IPR strengths, make good use of such strengths to create business achievements, establish the Company's IPR management system to protect the Company interests and rights while preventing infringement upon others' rights
 - F. Demonstrate the Company's IPR strengths, create IPR-based products and services, as well as protect the Company's rights and prevent infringement upon others' rights by effective IPR management system implementation

The Company is committed to new technology R&D and hopes to encourage IPR applications, protect the Company's rights, and prevent infringement upon others' rights through sound IPR management. The Company is committed to the following:

 - (a) R&D for technology innovation and competitiveness enhancement
 - (b) Implement compliance with corporate governance
 - (c) Reinforcement of classified document management
 - (d) Cultivation of employees' IPR awareness to effectively carry out IPR management
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Chapter 2 Scope of Applicability

- A. Applicability of the Company's IPR management system:
 - (a) Applicable units: Please refer to the Appendix 1, Company Organizational Chart and Explanation of Responsibilities for TIPS System
 - (b) Objects: The Company's trademarks and patent rights
 - (c) Compatibility with the ISO 9001 standards: The Company's IPR standards remain applicable if they are already present in the ISO 9001 standards and the Company's IPR management system serves only to adequately reinforce the ISO 9001 standards and strengthen their compliance.
 - B. Exception: Copyrights, Trade Secrets, Integrated circuits, which are not produced by the Company's core businesses
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Chapter 3 Reference

The Company's IPR management system is developed based on the ISO 9001 structure to meet basic IPR management requirements.

Chapter 4 **Terms and Definitions**

- A. Relevant laws and regulations promulgated by the government shall be consulted for the definitions of the patents, trademarks, copyrights, and trade secrets as referred to in the Company's IPR management documents.
- B. The IPR herein refers to the IPR including patents and trademarks among others protected by law and may not be used by others.
- C. The suppliers herein refer to the businesses providing goods and/or services to the Company/.
- D. The customers herein refer to the individuals or businesses who buy goods and/or services from the Company.
- E. The TIPS (Taiwan Intellectual Property System) herein refers to the Company's IPR management system.
- F. The ISO referred to herein includes both the TIPS and IPR, e.g., ISO regular meetings are equivalent to ISO and TIPS regular meetings.
- G. The outsourced companies herein refer to the businesses receiving assignments from the Company pursuant to designated procedures.
- H. The top management level includes internal organizational management levels such as the Chief Legal Officer, Vice President of Technology, President, and other department-level supervisors.
- I. Management Representative is the Chief Legal Officer who is authorized by the top management level and responsible for executing TIPS system-related affairs.

Chapter 5 **Organization Environment**

- A. Internal and external issues
The following shall be processed:
 - (a) Attentiveness to organizational goals and the internal and external issues relevant to such goals
 - (b) Assessment of the aforementioned issues' impacts on the expected results of IPR management system implementation
- B. Stakeholders
The organization shall decide the stakeholders relevant to its IPR management system as well as pay attention to and assess the stakeholders' requirements and/or expectations for the IPR management system.
 - Please refer the annual announcement for the Stakeholder, Internal and External Issue, Policy, and Objective Assessment.

Chapter 6 **Responsibilities of Management**

- A. Management's commitment
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The top management shall demonstrate the leadership of and commitment to the IPR management system by carrying out the following:

- (a) Engage in IPR management policy, objective, and system development relevant to organization management strategies
- (b) Ensure the IPR policy is communicated, understood, and implemented throughout the organization
- (c) Communicate the importance of effective IPR management and relevant compliance requirements
- (d) Ensure the IPR management system has been integrated into organization operation processes
- (e) Strengthen process management effectiveness and risk responsiveness
- (f) Ensure adequate resources are available to the IPR management system
- (g) Ensure the IPR management system can achieve the expected results
- (h) Provide coordination, instruction, and support to employees for them to contribute to the effectiveness of the IPR management system
- (i) Reinforce ongoing improvement
- (j) Support other relevant management levels
- (k) Ensure accountability for IPR management results

B. IPR management policy

- (a) The top management shall establish, implement, and maintain the IPR management policy to meet the following requirements:

- 1. Factor in internal and external issues as well as stakeholders
- 2. Ensure suitability for the organization scale, activities, and the nature of products or services
- 3. Ensure compliance with relevant laws and regulations as well as other requirements for the organization
- 4. Establish and examine IPR management objectives
- 5. Commit to ongoing improvement of the IPR management system

- (b) The IPR management policy shall:

- 1. Implement mandatory documentation for information security management
- 2. Be communicated, understood, and utilized throughout the organization
- 3. Be available to stakeholders when appropriate

- Appendix: Stakeholder, Internal and External Issue, Policy, and Objective Assessment

C. Objectives planning

- (a) The top management shall establish the IPR management objectives that meet the

following requirements:

1. Compliance with relevant current laws and regulations
2. Support for the organization's IPR management policy
3. Relevance to the accomplishment of the organization's management objectives
4. Achievability assessment
5. Conveyance of documented information throughout the organization
6. Under supervision
7. Timely updates

(b) The top management shall ensure the following requirements are met to accomplish the objectives of the IPR management system:

1. Tasks to be implemented
2. Resources required
3. Accountable personnel
4. Deadlines
5. Result assessment methods

D. Accountability and Communication

(a) The top management shall ensure clearly defined accountability for IPR management, and ensure relevant organization members are well informed of such accountability.

(b) The top management for the IPR management system shall be the Company's President (also, the management representative), and the General Counsel of the Company is the designated responsible officer to execute affairs related to TIPS system and responsible for:

1. Ensuring the awareness of the IPR management policy and its objectives throughout the organization
2. Ensuring the procedures required for the IPR management system is established, implemented, and maintained
3. Ensuring the realization and expected results of the aforementioned procedures
4. Reporting the results of the IPR management system as well as room for improvement to the top management
5. Ensuring the completeness and consistency of the IPR management system when planning or altering the system

Chapter 7 System Planning

A. Basic requirements

(a) The organization shall establish, implement, and maintain its IPR management

system based on the organization scale, type, and requirements of basic standards for ongoing effectiveness improvement. To this end, the organization shall at least:

1. Ensure the top management's stipulation of the IPR management policy and objective as well as maintenance of the system
 2. Ensure the documents established meet relevant document management requirements
 3. Decide what should be included into the IPR management system, including relevant people, events, objects, and IPR categories
 4. Plan and implement the procedures required for IPR acquisition, protection, maintenance, and utilization
 5. Designate the personnel responsible for the aforementioned procedures
 6. Ensure availability of the resources required for effective operation of the IPR management system
 7. Plan and implement proper measures based on the risks and opportunities identified
 8. Supervise, analyze, and assess the results of IPR management
 9. Review and improve the aforementioned items on a regular basis
- (b) The organization shall maintain documented information to the extent necessary to support the operation of processes and retain documented information to the extent necessary to have confidence that the processes are being carried out as planned.

B. Responsiveness to risks and opportunities

- (a) The IPR management system planning shall:
1. Factor in internal and external issues as well as stakeholders' needs and expectations
 2. Decide the risks and opportunities to be addressed
 3. Devise the process adequate for the following purposes:
 - (1) Realization of the expected results of IPR management
 - (2) Prevention or reduction of unexpected impacts
 - (3) Realization of ongoing improvement
- (b) The organization shall assess whether its IPR management process should be adjusted when the following risks and opportunities become likely:
1. IPR-related law changes
 2. New technologies, new products, and/or new business operations being planned

3. Emerging trends of new products and/or technologies
 4. New technology standards being planned or announced
- C. Changes of planning
- (a) The organization shall decide whether the IPR management system needs to be changed, and any change shall be well planned and systematically implemented.
 - (b) The organization shall factor in:
 1. Purposes of changing and potential impacts
 2. Completeness of the IPR management system
 3. Usability of resources
 4. Designated duties and limits of authority or re-designation

Chapter 8 Support

A. Resources

(a) Basic requirements

The organization shall decide and provide the resources required for implementation and maintenance of its IPR management system to continue improving the system effectiveness.

(b) Human resources

The organization shall provide necessary human resources to ensure the effective operation of its IPR management system and accomplishment of IPR management objectives.

(c) Infrastructures and services

The organization shall decide, manage, provide, maintain, and continue improving the infrastructures and services required for IPR management processes.

(d) Organization knowledge

1. The organization shall decide the knowledge required for its IPR management system and shall keep such knowledge to make it readily available when needed.
2. The organization shall factor in its existing knowledge base and decide how to acquire or utilize necessary extra knowledge to cope with changes and trends.

B. Capabilities

(a) Basic requirements

The organization shall:

1. Ensure relevant personnel are aware of the relevance between their duties and IPR management objectives

2. Decide relevant personnel's capabilities required for IPR management
3. Take measures to acquire the aforementioned capabilities.
4. Assess the effectiveness of measures taken
5. Keep record of education and training as well as other relevant measures taken

(b) Basic education and training

The organization shall provide necessary education and training on IPR to the employees relevant to the effectiveness of IPR management, and such education and training shall include:

1. Basic IPR concepts
2. The organization's IPR management policy, objectives, and relevant requirements

C. Education and training of accountable personnel

The organization shall decide the capabilities required for the personnel accountable for IPR management to provide necessary education and training to them.

D. Communication

(a) Communication channels

The organization shall establish internal and external communication channels for its IPR management system to enable timely conveyance of information.

(b) IPR counseling

The organization shall ensure the following requirements are met through its communication channels:

1. Factor in legal risks prior to decision-making or implementation
2. Warrant or perform the organization's legal rights and obligations adequately

E. Documented Information

(a) Items of documentation

(b) The organization's IPR management system shall document the following:

1. The information to be documented as required herein
 2. The information to be documented as required by the organization
 3. The aforementioned information to be documented including:
 - (1) The IPR management policy and its objectives
 - (2) The IPR management system overview, including the scope of applicability, accountability and division of labor, documented information on the IPR management system, and relevance between management processes
 - (3) Operating procedures, including stipulation and updates. document control, internal auditing, and rectification measures
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- (4) Implementation logs, including relevant records of education and training, preparatory actions, R&D, contract reviews, inventory classification and updates, maintenance assessment, internal auditing, management reviews, and rectification measures

- (c) Stipulation and updates

The organization shall ensure the following when establishing and updating documented information:

1. Identification and description such as titles, dates, authors, and/or index numbers
2. Formats such as languages, software versions, and graphics, as well as media such as paper and electronic files
3. Review and approval

- (d) Document control

The organization shall take proper measures to ensure its IPR management system's requirements for documented information as well as what is required herein:

1. Ready availability and utilization of valid versions
 2. An adequate archive to protect confidentiality from being compromised or becoming incomplete resulting from misuses
 3. Identifiable classification of confidentiality with confidentiality measures taken
 4. Identification and control of the external documents related to IPR and relevant implementation logs to ensure document completeness and accessibility with clearly defined archival methods and periods
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Chapter 9 IPR Acquisition, Protection, Maintenance, and Utilization

A. Acquisition

- (a) Preparatory actions

Prior to R&D, the organization shall:

1. Understand the requisite elements for IPR acquisition
2. Decide the necessary measures for IPR acquisition
3. Analyze competitors as well as the number of their IPR, related technologies, and trends of changes in these regards when necessary
4. Research and analyze relevant IPR information based on the nature of patents in question when there is any infringement concern, take responsive measures, and keep record of the measures taken

- (b) R&D record-keeping

The organization shall keep detailed record of R&D processes, including at least

identifiable R&D personnel, time, and contents

(c) Result reviews

The organization shall: :

1. Confirm whether R&D results meet planned objectives
2. Announce R&D results only after they are reviewed and approved

(d) Right claiming

The organization shall follow its IPR management policy and objectives to stipulate its IPR acquisition proposal, how to review the proposal, and the IPR acquisition process while timely providing incentives.

B. Protection

(a) Outsourcing and procurement management

1. When the organization outsources its R&D and IPR management, it shall:
 - (1) Develop process management
 - (2) Sign confidentiality agreements on the ownership of relevant IPR and review contracts as required herein
 - (3) Stipulate requirements for the quality of external suppliers and criteria for selecting external suppliers when necessary
2. The organization shall take responsive measures to address the IPR risks resulting from product procurement's infringement upon others' IPR, and may require external suppliers' IPR management systems to comply with what is required herein when necessary.
3. The organization shall communicate the following requirements with its external suppliers:
 - (1) Output processes of their products and/or services
 - (2) Capabilities of suppliers' workers. including qualification requirements
 - (3) Relevance with the organization's IPR management system
 - (4) The organization's management and review of external suppliers' performances

(b) Confidentiality management

1. The organization shall establish and maintain adequate confidentiality control procedures to include:
 - (1) Personnel control: Define the personnel with access to the organization's classified information and set up different levels of access to classified information
 - (2) Equipment control: Control the users of the equipment vulnerable to classified and/or important document leaks, objectives and methods of
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their usage, and circulation of related information

- (3) Classified document control: Set up the levels of confidentiality, confidentiality periods, as well as transmission, archive, and destroy procedures of the documents relevant to the organization's IPR
 - (4) Environment and facility control: Control the facilities with access to classified documents to define controlled areas and control measures, including entrance and exit control as well as designated areas for customers and visitors
2. The organization shall sign work contracts or employment contracts with employees to specify IPR ownership and confidentiality requirements, and include non-competition restrictions when necessary.
 3. The organization shall understand new employees' existing IPR obligations to prevent infringement upon others' IPR.
 4. The organization shall remind departing employees of relevant IPR requirements, conduct interviews with the departing employees with involvement in important IPR matters at the organization, and ask them to sign consensual termination agreements when necessary to agree upon specific IPR ownership, specific confidentiality requirements, and non-competition restrictions.
 5. If former employees join competitors to engage in same or similar practices, the organization may remind them again of their obligations and also inform their employers of such employees' obligations when necessary.

(c) Contract reviews

For the contracts relevant to IPR acquisition, protection, maintenance, and utilization, the organization shall ensure the following is subject to review and keep record of what is reviewed:

1. Reasonable protection of the organization's necessary interests and rights
2. Specific agreements on the obligations and rights of the parties concerned
3. Categorically defined confidentiality obligations
4. Specific agreements on IPR ownership

(d) Dispute resolution

The organization shall establish IPR dispute resolution mechanisms to prevent or alleviate disputes' damages to the organization and ensure sufficient information and assistance are available to the top management prior to decision-making. The mechanisms shall also include the measures to resolve known infringement issues.

C. Maintenance

(a) Inventory classification

The organization shall classify the IPR it owns, establish its IPR inventory or databank, implement updates on a regular basis, and keep record of the updates.

(b) Assessment of maintenance

1. For the duration of any IPR that can only be extended through certain due legal procedures, the organization shall -- before the duration expires -- factor in the nature of different rights to assess the benefits of maintenance of IPR, decide whether such maintenance should continue, and keep record accordingly.
2. The required procedures for duration extension shall be abided by when IPR maintenance is decided.

D. Utilization

The organization may assess IPR values, gather and analyze intelligence on external IPR, and engage in the following:

- (a) Market competition strategy development
 - (b) IPR commercialization such as authorization, technology transfers, and conveyance
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Chapter 10 Performance Assessment

A. Supervision, assessment, and analysis

(a) Basic requirements

The organization shall supervise, assess, analyze, and improve the process of its IPR management system to ensure the system meets the organization's expected results while continuing improving the system performance.

(b) Process supervision and assessment

The organization shall properly supervise and assess the process of its IPR management system.

(c) Data analysis

1. Assessment of improvement

The organization shall decide, gather, and analyze the data generated by its IPR management system to understand the system applicability and effectiveness to assess the room for ongoing improvement.

2. Result assessment

The aforementioned data analysis shall provide the following:

- (1) The IPR management system's effectiveness
 - (2) The IPR management system's conformity with what is required herein
 - (3) Compliance with the latest laws and regulations relevant to IPR
 - (4) The number of IPR owned by the organization as well as trends of changes
 - (5) IPR assessment for new product development planning
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B. Internal auditing

- (a) The organization shall implement internal auditing in planned periods to understand whether its IPR management system meets the following requirements:
 - 1. Conformity with what is required herein
 - 2. Conformity with the organization's IPR management policy and objectives
 - 3. Effective implementation and maintenance
- (b) The organization shall factor in the status and importance of its audit process and scope as well as previous audit results for audit planning to decide its audit criteria, scope, frequency, and method:
 - 1. Ensure fairness of audit processes and objectivity of audit results
 - 2. Ensure relevant management levels are informed of audit results
 - 3. Take proper and timely corrective and rectification measures
 - 4. Maintain documented information as evidence of audit implementation and audit results

C. Management reviews

- (a) The top management shall review the IPR management system on a regular basis to ensure the system maintains its adequacy, completeness, and effectiveness. Planning and implementation of the management reviews shall factor in:
 - 1. The status quo of the measures taken by previous management reviews
 - 2. The management system planning and changes, including establishment of the IPR policy and objectives, development strategies, as well as internal and external issue changes
 - 3. The management system implementation results, including to which extent the management objectives are achieved, the status of the organization's IPR ownership, internal audit results, and the status of implementation of major rectification measures
 - 4. Effectiveness of the responsive measures addressing risks and opportunities
 - 5. Opportunities for ongoing improvement
- (b) Management review results
 - 1. Management review results shall include relevant decisions and measures:
 - (1) The IPR risks and opportunities facing the organization
 - (2) Any necessary change to the management system
 - (3) The support required for improvement measures
 - 2. The organization shall keep documented information as evidence of its management review results

A. Basic requirements

The organization shall decide and select the opportunities for improvement and take necessary measures to conform with the IPR management policy and its objectives to strengthen IPR management effectiveness.

B. Rectification measures

(a) In the event of any nonconformity, the organization shall:

1. Take proper rectification measures to address nonconformity issues whenever possible
2. Inspect and identify the causes of nonconformities, similarities to nonconformities, or possible nonconformities
3. Implement any necessary cause elimination measures
4. Review the effectiveness of all the measures taken
5. Change or modify the IPR management system when necessary

(b) Rectification measures shall be proportional to nonconformity impacts.

(c) The organization shall keep documented information as evidence to include:

1. The nature of nonconformities and any subsequent measures taken
2. The results of any subsequent measures taken

C. Ongoing improvement

(a) The organization shall continue improving the appropriateness, completeness, and effectiveness of its IPR management system.

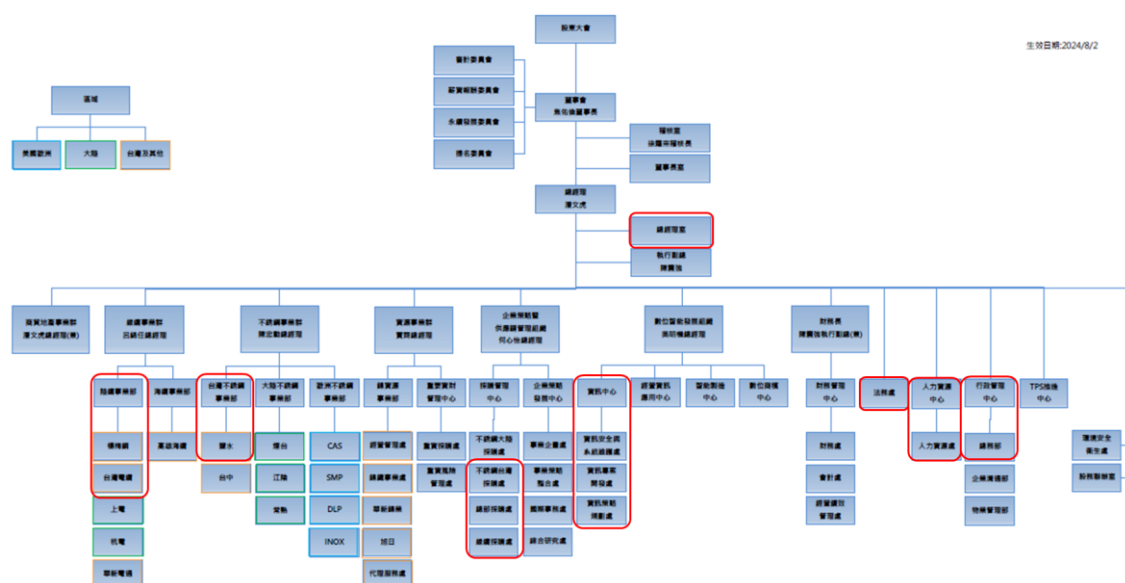
(b) The organization shall properly identify whether its IPR management system is effective or not and whether the system should be subject to ongoing improvement.

(c) The organization shall use proper methods and tools to understand the root causes of ineffectiveness of its IPR management system to implement ongoing improvement.

Append 1 Company Organizational Chart and Explanation of Responsibilities for TIPS System

The unit in red square in the Company Organizational Chart is the responsible unit of TIPS system for each plant.

- Taipei HQ : the President' s office and the Legal division directly under the President; the General affair department under the Administration Management Center; the HQ Procurement division under the Corporate Strategy & Supply Chain Management Center; the Human Resource Center and the IT Center under the Digital Intelligence Development.
- Hsinchuang Plant : the R&D division, the Quality Assurance department, the business management division under the Cable Business Unit and the Cable Procurement division under the Corporate Strategy & Supply Chain Management Center.
- Yensui Plant : the Technology division, the Quality Assurance division and the Taiwan Stainless Steel Procurement division under the Corporate Strategy & Supply Chain Management Center.



Functions of the responsible unit under TIPS system in Walsin Lihwa Corp.:

1. The top management level and the Management Representative: The top management level includes internal organizational management levels such as the Chief Legal Officer, Vice President of Technology, President, and other department-level supervisors. The Management

Representative is the Chief Legal Officer. The responsibilities of the top management level and the Management Representative is described in Chapter 6, 7, and 10.

2. Regulation Management Units: it is the President's Office in Taipei, the Quality Assurance department in Hsinchuang Plant and the Quality Assurance division in Yanshui Plant. They are responsible for the format review of regulation formulation and the management of the responsibility division table.
3. Legal Division: Responsible for the operation, implementation, and supervision of the TIPS system, contract drafting and review, and the formulation and execution of corresponding intellectual property management processes and regulations.
4. Human Resources Center: Responsible for arranging education and training for employee, handling personnel recruitment or retirement-related operations, and formulating and executing corresponding management processes and regulations.
5. R&D Units: the R&D division and its subordinate units in Hsinchuang Plant and the Technology division and its subordinate units in Yanshui Plant. They are responsible for executing R&D activities, maintaining corresponding R&D records, and formulating and executing corresponding management processes and regulations.
6. IT Center and General Affairs Department u: Responsible for providing the necessary equipment, permission management, and personnel control for the TIPS system, as well as formulating and executing corresponding management processes and regulations.
7. Procurement Units: Including the HQ Procurement division, the Cable Procurement division in Hsinchuang Plant, and the Stainless Steel Taiwan Procurement division in Yanshui Plant. They are responsible for the procurement operations of non-raw materials and the formulation and execution of corresponding management processes and regulations.
8. Other Execution Units (Hsinchuang Plant Business Management division): Follow intellectual property-related regulations, establish corresponding business management processes, formulate regulations, and execute them.

Appendix 2 TIPS System Responsibilities and Regulations corresponding Table

The following lists the TIPS system responsibility table and regulation methods table from the internal announcement in July 2024. Future versions of the TIPS system responsibility table and regulation methods table announced internally each year will prevail. The Intellectual Property Right Management Manual will no longer be updated due to changes in the TIPS system responsibility table and regulation methods table.

TIPS 管理規範	相關部門 (●為主責單位・◎為配合單位)													分別對應的 1-4 階文件
TIPS 條款單元	台北總部						鹽水廠			新莊廠				
	法務處	總經理室	人力資源處	總務部	資訊中心	採購管理中心	技術處	品保處	不鏽鋼採購處	研發處	品保部	業務管理處	線纜採購處	
4.組織環境 4.1 內外部議題 4.2 利害關係人	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智慧財產權管理手冊 (A-1-TP-OP-101001-003・2022/5/24 公告施行・為因應導入 TIPS 所新增) TIPS 制度權責與規章辦法表、利害關係人與內外部議題評估、政策與目標表、公司組織圖
5.管理階層責任 5.1 管理階層承諾 5.2 智財管理政策與宣導	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智慧財產權管理手冊 (A-1-TP-OP-101001-003・2022/5/24 公告施行・為因應導入 TIPS 所新增) TIPS 制度權責與規章辦法表、利害關係人與內外部議題評估、政策與目標表、公司組織圖
5.3 目標規劃 5.4 權責與溝通	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智財自評與管理審查辦法 (A-2-TP-OP-101003-006・2022/5/16 公告施行・為因應導入 TIPS 所新增) 管理審查會議資料、簽到表、會議紀錄及審查結果決議

6.制度規劃 6.1 基本要求 6.2 風險與機會 的因應 6.3 變更規劃	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智慧財產權管理手冊 (A-1-TP-OP-101001-003 , 2022/5/24 公告施行·為因應導 入 TIPS 所新增) TIPS 制度權責與規章辦法表、 利害關係人與內外部議題評 估、政策與目標表、公司組織圖
	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智財自評與管理審查辦法 (A-2-TP-OP-101003-006 , 2022/5/16 公告施行·為因應導 入 TIPS 所新增) 管理審查會議資料、簽到表、會 議紀錄及審查結果決議
7.支援 7.1 資源 7.1.1 基本要求	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智慧財產權管理手冊 (A-1-TP-OP-101001-003 , 2022/5/24 公告施行·為因應導 入 TIPS 所新增) TIPS 制度權責與規章辦法表、 利害關係人與內外部議題評 估、政策與目標表、公司組織圖
7.1.2 人力資源	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	員工教育訓練辦法 (A-1-TP-HR-105000-004 , 2021/8/10 公告施行·為因應導 入 TIPS 而編修) 華新麗華員工學習發展體系架 構圖、教育訓練系統(華新麗華 學院)
	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	台灣地區員工甄選及任用管理 辦法 (A-2-TP-HR-102001-001 , 2021/5/21 公告施行·為因應導 入 TIPS 而編修) 勞動契約、新進人員暨有智慧財 產調查表
	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	台灣地區員工離退管理辦法 (A-2-TP-HR-102003-004 , 2020/7/27 公告施行·為因應導 入 TIPS 而編修) 離職承諾書

7.1.3 基礎設施 與服務	◎	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	文書處理辦法 (A-2-TP-OP-101005-00F , 2020/8/4 公告施行 , 為因應導 入 TIPS 而編修) 一般信件登記簿、機密登記本
	◎	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	門禁管理辦法 (A-2-TP-OP-101005-00L , 2020/8/4 公告施行 , 為因應導 入 TIPS 而編修) Notes 總務部整合服務系統-門 禁卡申請、訪客登記表
	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	-	-	專利、著作與營業秘密管理辦法 (A-2-TP-OP-101003-009 , 2024/2/16 公告施行 , 為因應導 入 TIPS 所新增) 專利檢索申請表
	◎	◎	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	存取控制管理辦法 (A-2-TP-IT-109000-001 , 2022/9/27 公告施行 , 為因應導 入 TIPS 而編修)
	◎	◎	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	帳號權限管理標準 (A-3-TP-IT-109002-002 , 2018/5/29 公告施行 , 未因 TIPS 導入而編修)
	-	-	-	◎	●	-	-	-	-	-	-	-	-	-	電腦機房維運管理標準 (A-3-TP-IT-107002-003 , 2022/9/27 公告施行 , 為因 TIPS 導入而編修) 人員進出記錄表
7.1.4 組織知識	◎	-	-	-	-	-	◎	●	-	-	-	-	-	-	技術文件管理作業辦法 (B-3-YS-PD-112003-001 , 2021/11/17 公告施行 , 為因 TIPS 導入而編修) 技術文件資料庫

	◎	-	-	-	-	-	-	-	-	●	◎	◎	◎	新產品開發管理辦法 (C-2-SC-PD-204000-001 , 2022/7/8 公告施行 , 為因 TIPS 導入而編修) 研究專案管理(Notes 管理系統)
7.2 能力 7.2.1 基本要求 7.2.2 基本教育 訓練 7.2.3 權責人員 教育訓練	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	員工教育訓練辦法 (A-1-TP-HR-105000-004 , 2021/8/10 公告施行 , 為因應導 入 TIPS 而編修) 華新麗華員工學習發展體系架 構圖、教育訓練系統(華新麗華 學院)
7.3 溝通 7.3.1 溝通管道 7.3.2 智財諮詢	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智財事務及紛爭處理辦法 (A-2-TP-OP-101003-005 , 2020/12/29 公告施行 , 為因 TIPS 導入所新增) 意見信箱
7.4 文件化資訊 7.4.1 文件化項 目 7.4.2 制定與更 新 7.4.3 文件管制	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智慧財產權管理手冊 (A-1-TP-OP-101001-003 , 2022/5/24 公告施行 , 為因應導 入 TIPS 所新增) TIPS 制度權責與規章辦法表、 公司組織圖
	●	◎	-	-	-	-	-	-	-	-	-	-	-	商標管理辦法 (A-2-TP-OP-101003-008 , 2024/2/16 公告施行 , 為因應 TIPS 導入所新增) 商標清單(系統)
	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	合約管理辦法 (A-2-TP-OP-101003-002 , 2019/8/2 公告施行 , 非因 TIPS 導入而編修) 法務管理系統
	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智財事務及紛爭處理辦法 (A-2-TP-OP-101003-005 , 2020/12/29 公告施行 , 為因 TIPS 導入所新增) 意見信箱

																智財自評與管理審查辦法 (A-2-TP-OP-101003-006 · 2022/5/16 公告施行·為因應導 入 TIPS 所新增) 自評計畫書、自評檢核表暨自評 缺失矯正措施表
																機密文件管理辦法 (A-2-TP-OP-101003-004 · 2021/7/22 公告施行·為因 TIPS 導入而編修) 機密文件盤點表
																員工教育訓練辦法 (A-1-TP-HR-105000-004 · 2021/8/10 公告施行·為因應導 入 TIPS 而編修) 華新麗華員工學習發展體系架 構圖、教育訓練系統(華新麗華 學院)
																公司規章管理辦法 (A-2-TP-OP-101001-001 · 2020/10/12 公告施行·為因應 TIPS 導入而編修) Notes 管理系統
																文書處理辦法 (A-2-TP-OP-101005-00F · 2020/8/4 公告施行·為因應導 入 TIPS 而編修) 一般信件登記簿、機密登記本
																電線電纜事業群規章管理辦法 (C-2-CG-OP-101001-001 · 2021/1/21 公告施行·為因應導 入 TIPS 而編修) Notes 管理系統
																新莊廠檔案管理辦法 (C-2-SC-QM-100000-007 · 2022/4/15 公告施行·為因應導 入 TIPS 而編修) 檔案借閱登記表

25

	-	-	-	-	-	-	◎	●	◎	-	-	-	-	鹽水廠文件化資訊管理辦法 (B-2-YS-PD-106000-001 , 2022/1/26 公告施行·為因 TIPS 導入而編修)
8.智財的取得、 保護、維護與運 用	●	◎	-	-	-	-	-	-	-	-	-	-	-	商標管理辦法 (A-2-TP-OP-101003-008 , 2024/2/16 公告施行·為因應 TIPS 導入所新增) 商標清單(系統)
8.1 取得 8.1.1 前置作業	●	◎	◎	-	◎	-	◎	◎	-	◎	◎	-	-	專利、著作與營業秘密管理辦法 (A-2-TP-OP-101003-009 , 2024/2/16 公告施行·為因應導 入 TIPS 所新增) 專利檢索申請表、專利申請審核 單、專利構想揭露書、智財權利 清單
	●	◎	-	-	-	-	-	-	-	-	-	-	-	商標管理辦法 (A-2-TP-OP-101003-008 , 2024/2/16 公告施行·為因應 TIPS 導入所新增)·相關文件 表 單包含商標清單、商標提案單、 商標申請審核單、商標檢索報告
	◎	-	-	-	-	-	●	-	-	-	-	-	-	技術專案與新產品開發作業管 理辦法 (B3-YS-PD-112003-001 , 2021/10/11 公告施行)·相關 文件表單包含技術專案與新產 品開發作業標準流程圖、研發計 畫書(系統)
	◎	-	-	-	-	-	●	-	-	-	-	-	-	研發與技術成果管理作業標準 (B-3-YS-PD-112002-001 , 2021/1/13 公告施行)·相關文 件表單包含研發與技術成果管 理作業標準流程圖、專利申請審 核單、專利檢索申請表、專利構 想揭露書、外部公開申請審查 表、專利申請流程圖

		◎	-	-	-	-	-	-	-	-	●	-	-	-	新產品開發管理辦法 (C-2-SC-PD-204000-001 , 2022/7/8 公告施行) , 相關文 件表單包含新產品開發作業流 程、產品規格摘要、試作需求 單、試作申請單、試作 計劃、研究專案管理(Notes 管 理系統)
8.1.2 研發紀錄		-	-	-	-	-	-	●	◎	-	-	-	-	-	研究記錄簿管理及作業標準 (B-3-YS-PD-112002-002 , 2020/07/28 公告施行 , 為因應 TIPS 導入而編修) 研究記錄簿格式
		-	-	-	-	◎	-	-	-	-	●	-	-	-	電子化研發記錄簿作業標準 (C-3-SC-PD-112002-001 , 2021/10/15 公告施行 , 為因 TIPS 導入而編修) 研究專案管理(Notes 管理系統)
8.1.3 成果審查		●	◎	◎	-	◎	-	◎	◎	-	◎	◎	-	-	專利、著作與營業秘密管理辦法 (A-2-TP-OP-101003-009 , 2024/2/16 公告施行 , 為因應導 入 TIPS 所新增) 專利檢索申請表、專利申請審核 單、專利構想揭露書、智財權利 清單
		●	◎	-	-	-	-	-	-	-	-	-	-	-	商標管理辦法 (A-2-TP-OP-101003-008 , 2024/2/16 公告施行 , 為因應 TIPS 導入所新增) 商標清單
		◎	-	-	-	-	-	●	◎	-	-	-	-	-	技術專案與新產品開發作業標 準 (B-3-YS-PD-112003-001 , 2021/10/11 公告施行 , 為因應 TIPS 導入而編修) 技術專案與新產品開發作業標 準流程圖、研發計畫書(系統)

	◎	-	-	-	-	-	●	◎	-	-	-	-	-	新產品設計與開發作業辦法 (B-2-YS-PD-100000-002 · 2022/11/4 公告施行，為因應 TIPS 導入而編修)
	◎	-	-	-	-	-	●	◎	-	-	-	-	-	潛在失效模式與效應分析 (FMEA)作業標準 (B-3-YS-PD-112001-002 · 2020/1/17 公告施行，未因應 TIPS 導入而編修)
	◎	-	-	-	-	-	●	-	-	-	-	-	-	研發與技術成果管理作業標準 (B-3-YS-PD-112002-001 · 2021/1/13 公告施行) · 相關文 件表單包含研發與技術成果管 理作業標準流程圖、專利申請審 核單、專利檢索申請表、專利構 想揭露書、外部公開申請審查 表、專利申請流程圖
	◎	-	-	-	-	-	-	-	-	●	◎	◎	◎	新產品開發管理辦法 (C-2-SC-PD-204000-001 · 2022/7/8 公告施行，為因 TIPS 導入而編修) 新產品開發作業流程、產品規格 摘要、試作需求單、試作申請 單、試作計劃、研究專案管理 (Notes 管理系統)
8.1.4 權利化	●	◎	◎	-	◎	-	◎	◎	-	◎	◎	-	-	專利、著作與營業秘密管理辦法 (A-2-TP-OP-101003-009 · 2024/2/16 公告施行，為因應導 入 TIPS 所新增) 專利檢索申請表、專利申請審核 單、專利構想揭露書、智財權利 清單

		●	◎	-	-	-	-	-	-	-	-	-	-	-	商標管理辦法 (A-2-TP-OP-101003-008 , 2024/2/16 公告施行 , 為因應 TIPS 導入所新增) 商標清單
		◎	-	-	-	-	-	●	◎	-	-	-	-	-	台灣區不銹鋼事業群專利管理 辦法 (B-2-BG-OP-101001-003 , 2023/1/7 公告施行 , 為因應 TIPS 導入而編修) 專利申請流程、概念提案申請 單、概念發想會議簡報、專利檢 索申請表、專利構想揭露書、專 利申請審核單、專利審查簡報、 申請專利獎金及獲證貢獻比例 表
8.2 保護		●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智財事務及紛爭處理辦法 (A-2-TP-OP-101003-005 , 2020/12/29 公告施行 , 為因 TIPS 導入所新增) 意見信箱
8.2.1 委外與採購管理		●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	-	◎	產學合作管理辦法 (A-2-TP-OP-101001-006 , 2021/6/7 公告施行 , 為因 TIPS 導入所新增)
		◎	-	-	-	-	-	●	◎	-	-	-	-	-	產學合作管理作業標準 (B3-YS-PD-112001-001 , 2022/05/14 公告施行 , 為因應 TIPS 導入而編修)
		◎	◎	◎	◎	◎	●	◎	◎	●	◎	◎	◎	●	請採購管理辦法 (A-2-TP-PC-107000-004 , 2023/4/13 公告施行 , 為因 TIPS 導入所新增) 法務管理系統、EP 系統(新莊

														廠)、SAP 系統(總部、鹽水廠)
	◎	◎	◎	◎	◎	●	◎	◎	●	◎	◎	◎	●	供應商管理辦法 (A-2-TP-PC-107000-005 · 2023/3/1 公告施行，為因 TIPS 導入所新增) 法務管理系統、EP 系統(新莊 廠)、SAP 系統(總部、鹽水廠)
	◎	-	-	-	-	-	-	-	-	●	◎	◎	◎	新產品開發管理辦法 (C-2-SC-PD-204000-001 · 2022/7/8 公告施行，為因 TIPS 導入而編修)
	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	合約管理辦法 (A-2-TP-OP-101003-002 · 2019/8/2 公告施行，非因 TIPS 導入而編修) 法務管理系統
8.2.2 機密管理	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	機密文件管理辦法 (A-2-TP-OP-101003-004 · 2021/7/22 公告施行，為因 TIPS 導入而編修) 機密文件盤點表
	◎	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	文書處理辦法 (A-2-TP-OP-101005-00F · 2020/8/4 公告施行，為因應導 入 TIPS 而編修) 一般信件登記簿、機密登記本
	◎	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	門禁管理辦法 (A-2-TP-OP-101005-00L · 2020/8/4 公告施行，為因應導 入 TIPS 而編修) Notes 總部整合服務系統-門 禁卡申請、訪客登記表

															台灣地區員工甄選及任用管理辦法 (A-2-TP-HR-102001-001 · 2021/5/21 公告施行·為因應導入 TIPS 而編修) 勞動契約、新進人員暨有智慧財產調查表
															台灣地區員工離退管理辦法 (A-2-TP-HR-102003-004 · 2020/7/27 公告施行·為因應導入 TIPS 而編修) 離職承諾書、競業禁止合約
															存取控制管理辦法 (A-2-TP-IT-109000-001 · 2022/9/27 公告施行·為因應導入 TIPS 而編修)
															帳號權限管理標準 (A-3-TP-IT-109002-002 · 2018/5/29 公告施行·未因 TIPS 導入而編修)
															電腦機房維運管理標準 (A-3-TP-IT-107002-003 · 2022/9/27 公告施行·為因 TIPS 導入而編修) 人員進出記錄表
															技術文件管理作業辦法 (B-3-YS-PD-112003-001 · 2021/11/17 公告施行·為因 TIPS 導入而編修) 技術文件資料庫
															新產品開發管理辦法 (C-2-SC-PD-204000-001 · 2022/7/8 公告施行·為因 TIPS 導入而編修) 研究專案管理(Notes 管理系統)

	◎	-	-	-	-	-	-	-	-	◎	◎	●	◎	檔案管理標準 (C-3-SC-MS-100000-001 · 2021/6/29 公告施行·為因 TIPS 導入而編修) 新莊業務管管制性檔案一覽 表、法務管理系統
	◎	-	-	-	-	-	-	-	-	◎	●	◎	◎	新莊廠檔案管理辦法 (C-2-SC-QM-100000-007 · 2022/4/15 公告施行·為因應導 入 TIPS 而編修) 檔案借閱登記表
	-	-	-	-	-	-	-	-	-	◎	●	◎	◎	實驗室檔案管理標準 (C-3-SC-PD-113000-007 · 2021/5/10 公告施行·為因應導 入 TIPS 而編修) 檔案借閱單
8.2.3 合約審閱	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	合約管理辦法 (A-2-TP-OP-101003-002 · 2019/8/2 公告施行·非因 TIPS 導入而編修) 法務管理系統
	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	-	◎	產學合作管理辦法 (A-2-TP-OP-101001-006 · 2021/6/7 公告施行·為因 TIPS 導入所新增)
	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	台灣地區員工甄選及任用管理 辦法 (A-2-TP-HR-102001-001 · 2021/5/21 公告施行·為因應導 入 TIPS 而編修) 勞動契約、新進人員暨有智慧財 產調查表
	◎	◎	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	台灣地區員工離退管理辦法 (A-2-TP-HR-102003-004 · 2020/7/27 公告施行·為因應導 入 TIPS 而編修) 離職承諾書

	◎	-	-	-	-	-	-	-	-	●	◎	◎	◎	新產品開發管理辦法 (C-2-SC-PD-204000-001 · 2022/7/8 公告施行，為因 TIPS 導入而編修)
	◎	-	-	-	-	-	●	◎	-	-	-	-	-	產學合作管理作業標準 (B3-YS-PD-112001-001 · 2022/05/14 公告施行，為因應 TIPS 導入而編修)
8.2.4 爭議處理	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	智財事務及紛爭處理辦法 (A-2-TP-OP-101003-005 · 2020/12/29 公告施行，為因 TIPS 導入所新增) 意見信箱
8.3 維護 8.3.1 盤點分類 8.3.2 維護評估 8.4 運用	●	◎	-	-	-	-	-	-	-	-	-	-	-	商標管理辦法 (A-2-TP-OP-101003-008 · 2024/2/16 公告施行，為因應 TIPS 導入所新增) 商標清單
	●	◎	◎	-	◎	-	◎	-	-	◎	-	-	-	專利、著作與營業秘密管理辦法 (A-2-TP-OP-101003-009 · 2024/2/16 公告施行，為因應導 入 TIPS 所新增) 智財權利清單
	◎	-	-	-	-	-	-	-	-	●	◎	◎	◎	新產品開發管理辦法 (C-2-SC-PD-204000-001 · 2022/7/8 公告施行，為因 TIPS 導入而編修)
	◎	-	-	-	-	-	●	-	-	-	-	-	-	研發與技術成果管理作業標準 (B-3-YS-PD-112002-001 · 2021/1/13 公告施行) · 相關文 件表單包含研發與技術成果管 理作業標準流程圖、專利申請審 核單、專利檢索申請表、專利構 想揭露書、外部公開申請審查 表、專利申請流程圖

	◎	-	-	-	-	-	●	◎	-	-	-	-	-	台灣區不銹鋼事業群專利管理辦法 (B-3-YS-PD-112002-001 , 2021/1/13 公告施行 , 為因應 TIPS 導入而編修)
9.績效評估														智財自評與管理審查辦法 (A-2-TP-OP-101003-006 , 2022/5/16 公告施行 , 為因應導入 TIPS 所新增) 自評計畫書、自評檢核表暨自評缺失矯正措施表
9.1 監督、評估與分析														
9.1.1 基本要求														
9.1.2 流程監督與評估	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	
9.1.3 資料分析														
9.2 內部稽核														
9.3 管理審查														
10.改善														智財自評與管理審查辦法 (A-2-TP-OP-101003-006 , 2022/5/16 公告施行 , 為因應導入 TIPS 所新增) 自評計畫書、自評檢核表暨自評缺失矯正措施表
10.1 基本要求	●	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	◎	
10.2 矯正措施														
10.3 持續改善														