

供应商质量管理手册

Supplier Quality Management Manual

Rev: A

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1. 范围 Scope

本手册定义了与安费诺科技（珠海）有限公司开展并维持业务的最低要求，旨在符合安费诺客户特定要求，包括：条款和条件、工艺标准、图纸解释规范。供应商应处理提交给他们的任何纠正措施请求。供应商应确保所有业务均以符合道德的方式进行，并考虑产品安全、法规和符合性。

This manual defines the minimum requirements for doing and maintain business with Amphenol Technology (Zhuhai) Co, Ltd (also named ATZ below), according to align to Amphenol's customer specific requirements including: Terms and Conditions, Workmanship Standards, Drawing interpretation specification. Supplier shall process any corrective action requests submitted to them. Suppliers shall ensure that all business is conducted in an ethical manner, with consideration for product safety, regulations and conformance.

本文件适用于向安费诺科技（珠海）有限公司供应材料的制造公司和商用现货 (COTS) 供应商。

Document applicable to manufacturing companies and commercial off-the-shelf (COTS) that supply material to ATZ.

2. 业务沟通 Business Communication

供应商应沟通业务环境的任何重大变化，包括但不限于收购、剥离、未决诉讼，或任何可能改变供应商组织财务生存能力的活动。

Suppliers shall communicate any significant changes in business climate including but not limited to acquisitions, divestitures, pending litigation, or any activity that may change financial viability in the supplier's organization.

未经珠海安费诺 Sourcing 和 SQE 事先书面批准，供应商不得更改安费诺指定的图纸、材料、特殊工艺和工装。（特殊工艺包括：焊接、熔焊、钎焊、钝化、电解抛光、电镀、热处理、灌封、绕接、铸造、模塑、非传统加工、粘接。）此要求特别包括为符合 RoHS 要求所做的更改。

Without the prior written approval of ATZ Sourcing and SQE, the supplier shall not modify the drawings, materials, special processes and tooling designated by Amphenol. Special processes include: welding, fusion welding, brazing, passivation, electrolytic polishing, electroplating, heat treatment, potting, winding, casting, molding, non-traditional processing, and bonding. This requirement particularly includes changes made to comply with RoHS requirements.

如果图纸、工艺、材料或程序最初是由安费诺科技（珠海）有限公司批准的，未经安费诺科技（珠海）有限公司事先书面批准，供应商不得更改任何图纸、工艺、材料或程序。

Supplier shall not change any drawing, process, material, or procedure without prior written approval by Amphenol Technology (Zhuhai) Co, Ltd, if such drawing, process, material, or procedures were originally approved by ATZ.

供应商应制定控制旧版产品的政策/计划。供应商应通知安费诺科技（珠海）有限公司其过去购买过、现在被视为旧版的任何零件号。

Suppliers shall have a policy/program in place to control obsolescence. Supplier shall notify to ATZ of any part numbers that ATZ has purchased in the past that are now considered obsolete.

3. 对供应商的期望 Expectation of the supplier:

- 审查、理解并确保遵守本手册，作为与安费诺科技（珠海）有限公司业务往来的一部分。

Review, understand and ensure compliance to this manual as a part of doing business with ATZ.

- 遵守所有要求，包括所有采购订单条款（CoC、FAI、PPAP 等）、法规和条件。

Adhere to all requirements including all purchase order terms (CoC's, FAI's, PPAP and others), regulations and conditions.

- 能够按时提供材料，并附带安费诺科技（珠海）有限公司要求的所有文件。

Be able to supply material on time and form with all the documents required by ATZ.

- 满足安费诺科技（珠海）有限公司对所供材料的质量方针。

Meet with ATZ Quality Policy on material supplied.

4. 运营 Operation

供应商应负责记录和执行所供产品的流程，以确保产品满足安费诺科技（珠海）有限公司的期望。

Supplier's shall be responsible for documenting and executing processes for supplied products in order to ensure the product meets with ATZ.

- 设计与开发 Design & Development
- 产品执行 Product execution
- 生产和服务提供 Production and service provisions
- 不合格品控制 Control of Non-Conformance material
- 变更管理 Change management

供应商应具备关键和唯一来源物料的业务连续性管理能力。这可能包括安全库存和风险缓解措施。将为关键和唯一来源物料提供业务连续性计划。

Suppliers shall have a business continuity management capability for critical and sole sourced items. This may include safety stock and risk mitigation efforts. The Business Continuity Plan will be provided for critical and sole sourced items.

5. 源头检验 Source Inspection

供应商同意，安费诺科技（珠海）有限公司、安费诺的客户以及适用的监管机构有权在要求时在供应商的工厂检查任何安费诺订单。安费诺也保留在必要时（由于供应商无法提供合格产品，或其他供应商缺陷）聘请第三方源头检验员的权利，费用由供应商承担。

Supplier agrees that ATZ, Amphenol's customers, and applicable regulatory authorities have the right to inspect any Amphenol order at the Supplier's facility upon request. Amphenol also reserves the right to contract a 3rd party source inspector at the supplier's expense, if deemed necessary to enforce due to supplier's inability to supply conforming product, or due to other supplier deficiencies.

6. 假冒伪劣部件 Counterfeit Parts

指“工作”是或包含非法或未经授权的复制品、替代品或改动品，这些物品被故意错误标记、错误识别或以其他方式假冒为原制造商的真实、未修改的部件/材料，或拥有原制造商或当前设计活动明确书面授权来源，包括授权的售后制造商。

This means “Work” that is or contains unlawful or unauthorized reproductions, substitutions, or alterations that have been knowingly mismarked, misidentified, or otherwise misrepresented to be an authentic, unmodified part/material from the original manufacturer, or a source with the express written authority of the original manufacturer or current design, activity, including an authorized aftermarket manufacturer.

向安费诺科技（珠海）有限公司供应材料的制造公司和商用现货 (COTS) 供应商，应控制并维护符合 ISO 9001-2015 的假冒预防和控制计划，且不得根据本合同向买方交付假冒伪劣工作或可疑的假冒伪劣工作。

Manufacturing companies and Commercial Off-the-Shelf (COTS) that supplied material to ATZ, shall control and maintain a counterfeit prevention and control plan that complies with ISO 9001-2015, and shall not deliver Counterfeit Work or suspect Counterfeit Work to buyer under this contract.

供应商只能购买提供给买方的部件/材料，其真实性证明需接受安费诺科技（珠海）有限公司质量团队的审查。

Supplier shall only purchase parts/materials provided to Buyer and evidence of authenticity is subject to review by ATZ Quality team.

供应商应将发现的任何可疑假冒部件通知安费诺科技（珠海）有限公司质量和采购团队，并提供材料已隔离的证据。

Supplier shall notify ATZ Quality and Purchase team of the suspicious of any counterfeit part founded and provide the evidence that material is on quarantine.

7. 质量保证 Quality Assurance

供应商须根据 ISO 9001 标准建立有效的质量管理体系。对供应汽车相关零部件给安费诺(珠海)有限公司的供应商还须获得有效 IATF 16949 质量管理体系证书。

Supplier shall setup an effective Quality Management System according to ISO 9001. IATF16949 certificate is also requested for the supplier who provides automotive part to ATZ.

供应商的质量体系应确保 Supplier's quality system shall ensure that:

- 最新的工程图纸和规范可在制造、测试和检验地点获得。

Latest engineering drawing and specification are available at the manufacturing, test and inspection location.

- 建立审查流程以确认适用的图纸和规范处于最新修订版次。

Process review is established to confirm that applicable drawings and specifications are at the latest revision level.

- 质量记录应详细维护，包含所需测试和验证的实际结果证据，并有助于追溯安费诺工业产品的完整性。

Quality records are maintained in sufficient detail with evidence of actual results of required tests and verifications and help to the traceability of the integrity of Amphenol Industrial product.

- 质量记录存储在可防止暴露于可能损害信息完整性的环境因素的位置或介质中，并可在安费诺要求时检索。

Quality records are stored in a location or media that prevents exposure to elements that would compromise the integrity of the information and will be retrieval upon request by ATZ.

7.1 文件控制与保存 Document Control & Retention

供应商负责获取所有引用文件。采购订单中未提供的文件可向安费诺采购部索取。

The supplier is responsible for obtaining all referenced documents. Documents not provided with the Purchase Order are available upon request from Amphenol Purchasing.

供应商应完好保存质量体系记录至少十 (10) 年（除非另有规定），包括与以下相关的记录

Suppliers shall remain in good condition for at least ten (10) years unless otherwise specified adequate quality system records, including records associated with:

- 管理评审 Management reviews
- 内部审核 Internal audits
- 校准 Calibration
- 变更管理 Change management
- 维护 Maintenance
- 生产和外发 Manufacturing and outsourcing
- 根本原因纠正措施 Root cause corrective action

供应商须知，在为安费诺创建的任何记录中记录虚假或欺诈性陈述或条目，可能受到严重处罚甚至触犯法律。

The supplier is advised that recording false or fraudulent statements or entries in any record created for Amphenol may result in severe penalties and even a violation of the law.

7.2 质量控制 Quality Control

在向安费诺科技（珠海）有限公司供应产品之前，供应商应实施以下内容

Before a product is supplied to ATZ, suppliers shall implement the following:

- 控制计划（如适用）（将在采购订单中确定）。Control Plan (when applicable) (It will be determined in the Purchase Order).
- PFMEA（过程失效模式与影响分析）（如适用）（将在采购订单中确定）。PFMEA (when applicable) (It will be determined in the Purchase Order).
- 过程能力（如适用）（将在采购订单中确定）。Process capability (when applicable) (It will be determined in the Purchase Order).
- 首件检验报告 (FAIR)（如果是首次采购或图纸有变更）。First article inspection report (FAIR) (If this is a first purchase or there was a drawing change).
- PPAP（生产件批准程序）（如适用）。PPAP (when applicable).

注：对于商用现货 (COTS)，需要供应商签署的符合性声明证书。

**Note: For Commercial off-the-shelf (COTS) it will be necessary the certificate of compliance statement signed by supplier.*

7.2.1 控制计划应 Control Plan shall be:

- 形成文件 Documented
- 为每个供应的产品所遵循 Followed for each supplied product
- 用于控制在 PFMEA 中识别的高风险过程 Used to control high risk processes identified in the PFMEA
- 作为操作和检验作业指导书的基础 Basis for operation and inspection work instruction

7.2.2 过程失效模式与影响分析 (PFMEA) 应 Process Failure Modes and Effect Analysis (PFMEA) shall:

- 为每个产品的生产过程完成 Be completed for the production processes of each product
- 显示与所制造产品每个过程相关的风险 Show the risks associated with each process of the product manufactured

7.2.3 过程能力研究应针对 Process Capability study shall be for:

- 安费诺科技（珠海）有限公司工程团队定义为关键的所有特殊特性。All special characteristics defined as critical by Amphenol Technology (Zhuhai) Co, Ltd Engineering team.

7.2.4 首件检验报告 (FAIR) 确保 First Article Inspection Report (FAIR) ensure:

- 供应商处于良好的检验计划之下 Supplier is under a good inspection plan
- 供应商有能力加工安费诺科技（珠海）有限公司的产品 Supplier is capable to process Amphenol Technology (Zhuhai) Co, Ltd product
- 利用适当的测量和监控基础设施及资源 Utilize appropriate measuring and monitoring infrastructure and resources

每当需要首件时（首次生产、修订变更、生产中断 24 个月、重大工艺变更或工厂搬迁），供应商应提供一个生产件 PPAP，包含供应商生成的每个特性的实际测量数据。

Whenever the first piece is needed (for the first production, revision and change, production interruption for 24 months, major process change or factory relocation), the supplier shall provide a production piece PPAP, including the actual measurement data of each feature generated by the supplier.

7.2.5 PPAP（生产件批准程序）应 PPAP (Production Part Approval Process) shall be:

- 基于 AIAG PPAP 手册的最新版本。

Based on the latest version of the AIAG PPAP Manual.

- 根据安费诺科技（珠海）有限公司质量工程团队要求的等级。

According to level required by Amphenol Technology (Zhuhai) Co, Ltd Quality Engineering team.

- 按要求提交样品件。

Submitted with sample parts as instructed.

7.2.6 预防性维护计划控制 Control of Preventive Maintenance Plan

- 供应商应有一个预防性维护程序，该程序应有维修历史记录，用于减少质量缺陷。

Supplier shall have a preventive maintenance program that is documented with history of repairs utilized to reduce quality defects.

7.2.7 不合格品控制 Control of Non-Conformance material

- 供应商应有一个识别和隔离不合格品或可疑物料的流程，将其存放在特定区域，确保物料的控制、遏制和处理。

Supplier shall have a process that identify and segregate the non-conforming or suspect material in a specific area assuring the control, contention and disposition of material.

- 一旦怀疑存在不合格品，供应商应立即通知安费诺科技（珠海）有限公司，并提供所有在手可追溯性信息。

Supplier shall notify Amphenol Technology (Zhuhai) Co, Ltd immediately upon suspicion of non-conforming material with all the traceability on hand.

- 未经事先授权，供应商不得发运不合格品。

Supplier shall not ship Nonconforming material without prior authorization.

- 如果供应商确定已发运不合格品，必须在发现不合格后 48 小时内通知安费诺科技（珠海）有限公司。

If supplier determines Nonconforming material has shipped, they must notify Amphenol Technology (Zhuhai) Co, Ltd within 48 hours of finding the non-conformance.

- 未经授权，供应商不得决定对不合格品进行修理或“按现状使用”。

A Supplier cannot disposition Nonconforming material for repair or "use as is" without authorization.

7.2.8 校准 Calibration

- 供应商应维护一个符合行业公认标准（ISO 17025, ISO 10012-1, ANSI Z540）的工具、检验和测试设备的校准和维护系统。

Supplier shall maintain a system for calibration and maintenance of tools, inspection and test equipment that is compliant with an industry recognized standard (ISO 17025, ISO 10012-1, ANSI Z540).

7.2.9 产品可追溯性 Product Traceability

供应商应建立批次可追溯性，该追溯性应 Suppliers shall establish a lot traceability that:

- 在整个价值流中跟踪组件，从原材料到发运至安费诺科技（珠海）有限公司。

Tracks components throughout the value stream, from raw material through shipment to Amphenol Technology (Zhuhai) Co, Ltd.

- 包括所有过程步骤，包括检验和测试程序以及返工。

Includes all process steps including inspection and test procedures and rework.

7.2.10 批次控制要求 Lot Control Requirements

供应商应为安费诺科技（珠海）有限公司提供的用于增值产品的所有组件维护批次控制的完整性。包含相关数据零件号和批次控制号的安费诺科技（珠海）有限公司库存申请单应随批次保存，并随成品发回安费诺科技（珠海）有限公司

Supplier shall maintain lot control integrity for all Amphenol Technology (Zhuhai) Co, Ltd supplied components for value added products. Amphenol Technology (Zhuhai) Co, Ltd Stock requisition sheets which include pertinent data part numbers(s) and lot control number(s) shall be kept with the lot and sent back to Amphenol Technology (Zhuhai) Co, Ltd with the finished product.

8. 合格证明书 Certificate of Conformance (CoC)

供应商应在每次向安费诺科技（珠海）有限公司交付时提供一份合格证明书，确认所有采购订单条款和技术要求均已满足。CoC 至少应包含以下内容

Suppliers shall provide a certificate of conformance with each delivery to Amphenol Technology (Zhuhai) Co, Ltd confirming that all Purchase Order terms, and technical requirements have been met. The CoC should include the following as a minimum:

- 安费诺科技（珠海）有限公司零件号 Amphenol Technology (Zhuhai) Co, Ltd Part Number
- 安费诺科技（珠海）有限公司图纸修订版 Amphenol Technology (Zhuhai) Co, Ltd Drawing Revision
- 零件名称 Part Name
- 安费诺科技（珠海）有限公司采购订单号 Amphenol Technology (Zhuhai) Co, Ltd Purchase Order number
- 发运数量 Quantity shipped
- 批号/批次号/序列号 Lot/Batch/Serial numbers
- 必须列出原材料的炉号或批号追溯 Raw material trace by heat or lot number must be listed
- 执行的特别工艺、规格以及按图纸认证的修订版 Special processes performed, the specification, and revision certified to per print

CoC 还需要包含图纸要求的原材料认证，并且对于所交付产品制造中使用的原材料，应具有可追溯的炉号、批号或序列号。CoC 应包含一份符合所有采购订单要求的声明并签字。执行特殊工艺的处理商提供的特殊工艺证书应包含在证明文件中，并通过证书号与发运相关联。如果制造商内部执行特殊工艺，则应在 CoC 上注明工艺和规格号。COTS 和供应商设计的零件需按所订购文件的最新修订版采购。

CoC also needs to include the raw material certifications as required by drawing and shall have a traceable heat, lot or serial number for the raw material used in the manufacture of the product being delivered. CoC should have a statement of conformance to all PO requirements and be signed. Special processes certificates from the processor performing the process shall be included with the cert package and linked to the shipment by cert number. If the manufacturer is performing the special process internally, they shall include the process, and specification number on the CoC. COTS and Supplier designed parts need to be purchased at the most current revision of the documents ordered.

注：对于 COTS，需要符合性声明证书。

**Note: for COTS it is necessary the certificate of compliance statement.*

9. 材料报告 Material Reports

随每批货物，由单一材料制成的物项的供应商和原材料供应商应提交一份英文材料报告，列出该批次的物理和化学性质。材料报告只能来自认证实验室或原材料制造商。如果采购项包含一种以上材料，供应商应处理并保存每种材料的材料报告十年，并在安费诺要求时提供副本，除非存在特殊采购订单要求。材料报告应根据安费诺按图纸规范或采购订单施加的要求规定化学和物理性质。按行业标准认证的原材料还应包括该规格的修订版在认证上。例外情况：1) 对于供应商认为专有的材料，改为提供一份指定可追溯批号/批次号的合

格证明书；2) 合格的军标项和 COTS（商用现货）；3) 由安费诺提供的材料；4) 按供应商目录或供应商特定零件号采购的物项/材料。所有材料、规格、特殊和工艺均应按该规格及其修订版进行认证。所有特种金属应符合 DFARS（国防联邦采办条例补充）。

Accompanying each lot, Suppliers of items made from a single material and suppliers of raw materials shall submit a material report listing physical and chemical properties of the lot(s) in English. Material reports shall only come from a certified lab or the raw material manufacturer. If more than one material comprises the procured item, the supplier shall process and maintain material reports for each material for a period of 10 years with copies provided to Amphenol upon request, unless special PO requirements exist. The material report shall specify chemical and physical properties in accordance with Amphenol imposed requirements per drawing spec, or PO. Raw materials certified to an industry standard shall also include the revision of said specification on the certification. Exceptions: 1) For materials that the supplier considers proprietary, provide instead a Certificate of Conformance that specifies a traceable lot/batch number; 2) Qualified Mil-Spec items and COTS (Commercial off the shelf); 3) material supplied by Amphenol; 4) Items/materials that are purchased to the supplier's catalog or to supplier's specific part number. All material, specifications, special and processes shall be certified to the specification, and revision of said specification. **All specialty metals shall be in compliant to DFARS.**

10. 直运供应商 Drop Ship Suppliers

如果合同规定货物需直接发运至安费诺的客户，供应商应向安费诺采购、质量部提交将要应用的检验计划和每个待发运零件号的已证明的首件检验报告。供应商在实施直运前必须获得安费诺采购质量部的书面批准。供应商应保留检验记录。表格应填写完成，包含任何上述特殊要求，并在直运批准前获得批准。

If contract stipulates that shipment is to be made directly to Amphenol's customer, supplier shall submit to Amphenol Procurement Quality the inspection plan to be applied and a proved First Article Report for each part number to be shipped. Supplier shall receive written approval from Amphenol Procurement Quality prior to making Drop Shipments. Supplier shall retain inspection records. Form will be completed, with any special requirements as noted above, and approved before the drop ship is approved.

11. 模塑和铸造供应商 Molding and Casting Suppliers

当以下任何事件首次发生时，供应商应提交首件检验报告：1) 要生产新的或修订的零件；2) 要使用新的或修改的模具或型腔；或 3) 工艺或材料已更改。模塑供应商应为每批消耗的原材料保留一份样品，为期 1 年，以备可能的测试。此外，橡胶复合物供应商应随每批发运提交一个固化的代表性测试样本；样本的硬度和拉伸强度值应在随附的材料报告中记录。

Supplier shall submit a First Article Report whenever any of the following events first occurs; 1) a new or revised part is to be produced; 2) a new or modified tool or cavity is to be used; or 3) the process or material has changed. Molding suppliers shall keep a sample of raw material used for each lot consumed, for a period

of 1 year for possible testing. In addition, rubber compound suppliers shall submit a cured, representative test specimen with each lot shipped; the specimen's durometer and tensile strength values shall be recorded in the accompanying material report.

12. 次级供应商 Sub-tier Suppliers

供应商应将所有适用要求（包括在定义时）传递至次级供应商，包括关键项目和关键特性。

Suppliers shall flow down to sub-tier suppliers all applicable requirements including critical items and Key characteristics when defined.

如果图纸、工艺、材料或程序最初是由安费诺科技（珠海）有限公司批准的，未经安费诺科技（珠海）有限公司事先书面批准，次级供应商不得更改任何图纸、工艺、材料或程序。供应商负责将此信息传达给安费诺科技（珠海）有限公司。

Sub-tier suppliers shall not change any drawing, process, material, or procedure without prior written approval by Amphenol Technology (Zhuhai) Co, Ltd, if such drawing, process, material, or procedures were originally approved by Amphenol Technology (Zhuhai) Co, Ltd. Suppliers are responsible for relaying this information to Amphenol Technology (Zhuhai) Co, Ltd.

没有特别的书面许可，交付给到安费诺科技（珠海）有限公司所有零件禁止返镀。

Without written authorization from ATZ, re-plating is prohibited for product with plating.

13. 易耗材料 Perishable Materials

供应商应确保使用的易耗材料不超过其推荐的有效期（如适用）。供应商还应提供每批的制造日期（如适用）。

Suppliers shall ensure that perishable materials, if employed, are not used beyond their recommended expiration dates. Suppliers shall also furnish date of manufacture for each lot as applicable.

14. FOD（异物碎屑）控制 FOD Control

供应商应维护 FOD 控制程序，并确保在发运前从所有零件中消除异物以及随之而来的异物损坏 (FOD)。此外，工作区域应以排除 FOD 事件风险的方式进行控制。

Suppliers shall maintain a FOD control program and ensure Foreign Objects and subsequent Foreign Object Damage (FOD) is eliminated from all parts prior to shipments. In addition, work areas shall be controlled in such a manner as to preclude the risk of FOD incidents.

15. 绩效评估 Performance Evaluation

为保存供应商信息并供未来确认，将向新供应商发送供应商调查问卷，并每年至少一次向所有批准供应商发送（SOP-006QF-03），以跟踪安费诺科技（珠海）有限公司供应商的信息和改进情况。可在 <https://amphenol-industrial.com> 获取。

In a manner of keep Supplier information and for future acknowledgment, a supplier survey will be sent for new suppliers and at least once in a year to all approved suppliers to track the information and improvements of ATZ suppliers (SOP-006QF-03). Available on <https://amphenol-industrial.com>

供应商绩效将每月根据以下方面进行衡量:

Supplier performance will be measured every month according to the following:

- **质量:** 由质量团队衡量。所供材料的质量应符合图纸规格要求，所有文件按时、按格式交付。最高得分为 60%，将根据接受或拒收标准进行衡量。每拒收一批将严重影响得分，如果供应商未按时、按格式发送 SCAR（供应商纠正措施请求），将受到 -10% 的处罚。

Quality: Measured by Quality team, the Quality of material supplied shall meet the requirements of spec according to drawing, and all the documents delivered on time and form, the maximum score will be 60% and it will be measured according to acceptance or rejection criteria, every LOT rejected will affect considerably, and there will be a penalty of -10% if supplier does not send SCAR on time and form.

- **交付:** 由采购团队衡量。最高得分为 40%，将根据承诺的交货日期（加上从美国到墨西哥的进口流程、清关流程等 5 个工作日）进行衡量。

Delivery: Measured by Purchase team, the maximum score will be 40% and it will be measured according to the promise date of delivery adding 5 business days for import process from United States of America to Mexico, custom processes and other.

15.1 评估与评级供应商风险 Evaluating and Rating Supplier Risk

供应商将根据以下综合交付和质量绩效进行评级:

- 低风险 => 90% 及以上 Low Risk => 90%
- 中风险 => 71% 至 89% Medium Risk => 71%
- 高风险 ≈ 70% 及以下 High Risk =< 70%

15.2 供应商评级 Suppliers Rating

- 被评为中风险的供应商将被纳入监控清单，直到达到 90% 以上的满意水平。Suppliers rated as Medium Risk shall be monitored until satisfactory levels above 90% are achieved.

- 被评为高风险的供应商，如果高风险是由于按时交付得分差造成的，应向采购部提供改进计划；如果高风险是由于所供材料质量得分差造成的，应向质量部提供改进计划。

Suppliers rated High Risk shall provide an improvement plan to Purchasing if the High Risk was caused because a bad score in the On Time Delivery, to Quality if the High Risk was caused because a bad score in the Quality of material supplied.

- 连续数月未能改善绩效的供应商可能会被取消资格。

Suppliers failing to improve their performance in sequential months may be disqualified.

16. 审核 Audit

根据安费诺科技（珠海）有限公司的质量体系保证要求，供应商的质量体系将至少每年根据 ISO 9001:2015 要求，使用我们的供应商调查问卷 4-QA16-039，由供应商质量工程师或质量保证经理进行评估，可在事先沟通后进行现场访问或在线会议。评估供应商的目的是最大限度地降低安费诺科技（珠海）有限公司在以下方面的风险：

According to follow to the Quality System Assurance of Amphenol Technology (Zhuhai) Co, Ltd, supplier's quality system will be evaluated at least once in a year according to ISO 9001:2015 requirements with our Supplier Survey 4-QA16-039 by a Supplier Quality Engineer or Quality Assurance Manager and may be performed on-site visit or via on-line meeting under prior communication accordance. The purpose of evaluating suppliers is to minimize risks to Amphenol Technology (Zhuhai) Co, Ltd in regard to:

- 产品或服务的完整性 Product or service integrity
- 产品或服务的可用性 Product or service availability
- 财务责任 Financial liability
- 满足客户承诺 Meeting customer commitments

注：此审核将根据安费诺科技（珠海）有限公司的业务便利性适用于供应商。

**Note: This audit will apply to suppliers according to Amphenol Technology (Zhuhai) Co, Ltd Business convenience.*

17. 供应商纠正措施 Supplier Corrective Action

纠正措施（包含完整的 8D 报告）应根据供应商收到质量问题通知（QIN）后的以下时间表执行

Corrective action with a full 8D shall be executed in accordance with the following timeline from the Suppliers receipt of Quality Issue Notification (QIN):

- 遏制措施 – 24 小时内（并需要沟通）。

Containment action – 24 hours (and need to be communicated).

- 根本原因分析 & 纠正措施计划确定（完整的 8D）– 材料到达供应商工厂后 10 个工作日。

Root Cause Analysis & Corrective Action Plan Defined (Full 8D) – 10 business days once material arrived at Supplier's facility.

18. 材料合规性 Material Compliance

18.1 消耗臭氧层物质 (ODS) Ozone Depleting Substances (ODS)

禁止在制造过程中直接使用安费诺零件的 I 类或 II 类消耗臭氧层物质（列于 40 CFR 第 82 部分附录 A 和 B），且不得包含在销售给安费诺的产品中。Class I or II Ozone Depleting Substances, as listed in 40 CFR part 82 Appendices A & B. are prohibited from directly contacting Amphenol Parts in the manufacturing process and shall not be contained in products sold to Amphenol.

18.2. 汞禁用 Mercury Prohibition

禁止在销售给安费诺的产品中故意掺入汞 (Hg) 或汞化合物（按均质材料重量计超过 0.001%）。The intentional incorporation of mercury (Hg) or mercury containing compounds exceeding 0.001% by weight per homogenous material into products sold to Amphenol is prohibited.

18.3 有毒物质控制法案 (TSCA) Toxic Substances Control Act (TSCA)

1976 年《有毒物质控制法案》（TSCA）是美国联邦法规，由美国环境保护局（EPA）管理。TSCA 的一个目的是减少与商业化学品相关的环境或健康风险。2021 年 1 月，针对以下五种持久性、生物累积性和毒性（PBT）物质发布了新的《有毒物质控制法案》限制：

The Toxic Substances Control Act of 1976 (TSCA) is a federal United States regulation, which is administered by the U.S. Environmental Protection Agency (EPA). One aim of TSCA is to reduce environmental or health risks associated with commercial chemicals. In January 2021, new TSCA restrictions were published for the following five persistent, bioaccumulative, and toxic (PBT) substances:

- PIP (3:1) (phenol, isopropylated phosphate (3:1), CAS 68937-41-7), a phosphate-ester flame retardant, anti-wear additive, and plasticizer.
- DecaBDE (decabromodiphenyl ether, CAS 1163-19-5), a brominated flame retardant.
- 2,4,6 TTBP (2,4,6-tris(tert-butyl)phenol, CAS 732-26-3), a lubricant and fuel additive.

- HCBD (hexachlorobutadiene, CAS 87-68-3), a chlorinated hydraulic, heat transfer fluid, or transformer fluid.
- PCTP (pentachlorothiophenol, CAS 133-49-3), a chlorinated plasticizer.

18.4 RoHS 指令 RoHS Compliance

EU及各国RoHS指令可能会更新。 请留意各国政府指令及官方网站的最新要求。

RoHS Directive of EU and related countries may be updated. Please keep eyes on the government directive and publish in official website.

- Lead (Pb) and its compounds: 0.1%
- Mercury (Hg) and its compounds: 0.1%
- Cadmium (Cd) and its compounds: **0.01%**, lower than other listed substances
- Hexavalent chromium (Cr6+) and its compounds: 0.1%
- Polybrominated Biphenyls (PBB): 0.1 %
- Polybrominated Diphenyl Ethers (PBDE): 0.1 %
- Bis(2-Ethylhexyl) phthalate (DEHP): max 0.1%
- Benzyl butyl phthalate (BBP): max 0.1%
- Dibutyl phthalate (DBP): max 0.1%
- Diisobutyl phthalate (DIBP): max 0.1%

备注Note: 欧盟RoHS指令网站 *website of EU RoHS-Directive*

https://environment.ec.europa.eu/topics/waste-and-recycling/rohs-directive_en

18.5 REACH 合规 REACH Compliance

本文件应作为关于欧盟 (EU) 化学品注册、评估、授权和限制法规 (REACH) 及其要求的通知。

This document shall serve as notification regarding the European Union's (EU) Registration, Evaluation, and Authorization of Chemicals regulation (REACH) and its requirements:

1. REACH SVHC (高度关注物质) , 根据欧盟法规 1907/2006 第 33 条

<https://echa.europa.eu/nl/candidate-list-table>

2. REACH 附件 XVII (欧盟法规 1907/2006) : www.echa.europa.eu/authorisation-list

3. REACH 附件 XVII (欧盟法规 1907/2006) : www.echa.europa.eu/substances-restricted-under-reach

18.6 加州第 65 号提案 California Proposition 65

第 65 号提案（1986 年《安全饮用水和有毒物质强制执行法案》）是加利福尼亚州的一项法律，要求企业通知加利福尼亚人有关可能导致癌症、出生缺陷或其他生殖危害的重要化学品。该法律要求，任何企业在明知且有意地使个人暴露于加利福尼亚州已知会导致癌症、出生缺陷或生殖毒性的化学品之前，必须首先给予明确且合理的警告。

Proposition 65 (Safe Drinking Water and Toxic Enforcement Act of 1986) is a Californian law that requires business to notify Californians about significant chemicals that cause cancer or birth defects or other reproductive harm. The law requires that no person doing business knowingly and internationally exposes and individual to a chemical known to the state of California to cause cancer, birth defects, or reproductive toxicity without first giving a clear and reasonable warning.

加州第 65 号提案清单可在 www.oehha.ca.gov/prop65 访问 The Prop 65 list can be found at www.oehha.ca.gov/prop65

18.7 PFAS

全氟和多氟烷基物质（PFAS），有时被称为“永久化学品”，是一组广泛应用于许多行业的数千种物质。由于人们对健康和环境问题的认识日益提高，PFAS 在全球范围内面临着越来越多的审查。现行和拟议的措施对某些司法管辖区的 PFAS 使用设定了限制或要求，尽职调查可能是履行法律义务、ESG 承诺和/或业务要求所必需的。

Per- and polyfluoroalkyl substances (PFAS), sometimes called "forever chemicals," is a group of thousands of substances widely used in many industries. Due to growing awareness of health and environmental concerns, PFAS are facing increasing scrutiny worldwide. In-force and proposed measures set restrictions or requirements on PFAS use in some jurisdictions, and due diligence may be necessary to meet legal obligations, ESG commitments, and/or business requirements.

例如，常见的 PFAS 包括 For example, commonly known PFAS include:

- PFOA（全氟辛酸）和 PFOS（全氟辛烷磺酸）
PFOA (perfluorooctanoic acid) and PFOS (perfluorooctane sulfonic acid)
- PFHxA（全氟己酸）和 PFH[x]S（全氟己烷磺酸盐/全氟己烷磺酸）
PFHxA (perfluorohexanoic acid) and PFH[x]S (perfluorohexane sulfonate/perfluorohexane sulfonic acid)
- PTFE（聚四氟乙烯）和其他含氟聚合物
PTFE (polytetrafluoroethylene) and other fluoropolymers

- 数千种其他化学物质。

Thousands of other chemicals

具体法规要求及详情可登录网站。Please visit PFAS website for details <https://www.epa.gov/pfas>

18.8 POPs

持久性有机污染物 (POPs) 是在环境中持久存在、在生物体内积累并对我们的健康和环境构成风险的有机物质。

Persistent organic pollutants (POPs) are organic substances that persist in the environment, accumulate in living organisms, and pose a risk to our health and the environment.

POPs 物质清单可在 List of substances subject to POPs Regulation - ECHA (europa.eu) 访问 The POPs substance list can be accessed at List of substances subject to POPs Regulation - ECHA (europa.eu)

18.9 冲突矿产报告和扩展矿产报告 CMRT and EMRT

冲突矿产报告/扩展矿产报告 (CMRT/EMRT) 是由负责任矿产倡议 (RMI) 开发的免费标准化报告模板，用于促进通过供应链传递矿产原产国以及所使用的冶炼厂和精炼厂的信息，旨在识别瓶颈点并收集钴和云母供应链中的尽职调查信息。

The Conflict Minerals Reporting Template (CMRT) is a free, standardized reporting template developed by the Responsible Minerals Initiative (RMI) that facilitates the transfer of information through the supply chain regarding mineral country of origin and the smelters and refiners being utilized. The Extended Minerals Reporting Template (EMRT) is a free, standardized reporting template developed by the Responsible Minerals Initiative to identify pinch points and collect due diligence information in the cobalt and mica supply chains.

CMRT/EMRT 模板可在后面网站或安费诺 Sourcing 人员获取。

You could get CMRT/EMRT template from website (responsiblemineralsinitiative.org) or ATZ Sourcing.

19. 材料完全披露 FMD

FMD 提供对构成产品的物质的完全透明度。这些披露显示产品成分，包括物质浓度，以及它们是否超过监管阈值。

FMD provides full transparency into the substances that make up a product. These disclosures show product composition, including substance concentration, and whether they exceed regulatory thresholds.

以下签名表明本文件已由供应商接收、阅读并确认理解。

The following signature indicates that this document has been received, read and confirmed to be understood by the supplier.

请将已签署的副本转发给安费诺珠海供应商开发部，并记录在采购协议或合同协议书上。

Please forward the signed copy to Amphenol Zhuhai Supplier Development Department and record it in the procurement agreement or contract agreement.

供应商全称（盖章）：

Company Name (Official Seal)

地址 Address : _____

责任人签字/日期： _____

职位： _____

Signature of Responsible / Date

Title

联络部门： _____

联络电话： _____

Department

Contact