
 ABB Identity Nr. 9AAK10103A5385	SCM Global Procedure Title:	Supplier Qualification
	SCM Global Procedure Number:	GP/SCM-12
	SCM Global Process Owner:	BF-SCM Head of Quality & Compliance
	Related Process	Supply Base Management
	Approved By:	SCM Council
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OVERVIEW

1.1 Vision and purpose

愿景及目的


Supplier Qualification is a key process within the Supply Base Management framework (see Step 2 - Figure 1). The overall purpose is to improve quality and delivery while reducing risks and total costs. ABB supplier qualification is designed to:

供应商认可是供应管理基础框架（见第二步-图 1）。总体目的是改进质量及交付，同时降低风险及总成本。ABB 供应商认可旨在：

- **Secure ABB minimum requirements**
确保 ABB 最低要求
 - Provide a 'driver's license' to supply to ABB
提供“驾驶执照”给 ABB
 - Excellent quality and delivery performance
卓越质量及交付绩效
 - Global process to share the results and build trust between the ABB units
以全球统一的方法在 ABB 各单元内共享结果和建立信任

- **Reduce risks**
减少风险
 - Provide risk guidelines to qualifying ABB units
为 ABB 各单元提供风险指导方针
 - Identify and avoid suppliers with high risks
识别并避免供应商处于高风险
 - Provide standardized quality tools to resolve potential supply chain risks
提供标准化的工具以解决潜在的供应链风险

- **Optimize resources**
优化资源
 - Less duplications of supplier qualifications and assessments
更少的供应商认可及评估重复工作
 - Increased sharing of the best suppliers
增加优秀供应商的共享
 - Full online global availability of supplier information
完整的供应商信息全球范围内在线使用

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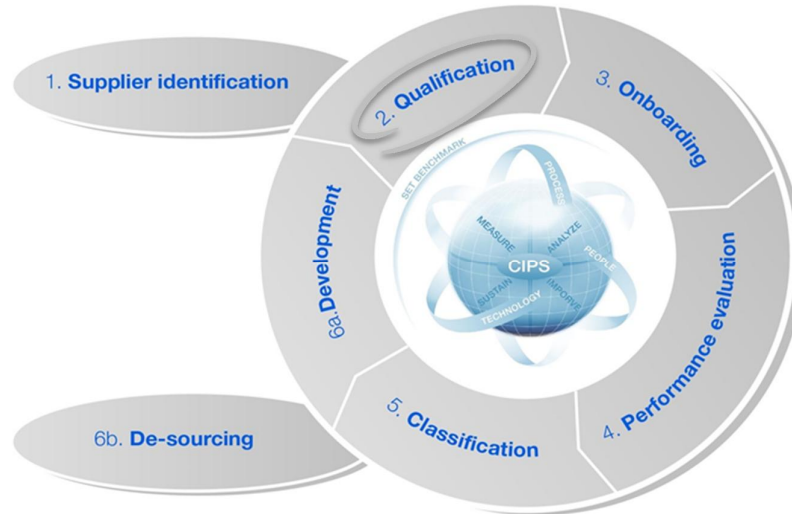


Figure 1:

SCM Supply Base Management Framework

SCM 供应管理基础框架

1.2 Objective 目标


The purpose of this procedure is to evaluate whether an existing or potential supplier fulfils ABB's requirements to become or remain a qualified supplier to ABB. The possible qualification results are:

此程序的目的是评价现有供应商或潜在供应商是否符合 ABB 要求使之成为或保持 ABB 合格供应商。

- Qualified
合格
- Conditionally Qualified
有条件合格
- Disqualified
不合格

Before any new supplier is considered, and to minimize the inflow of new suppliers, it is required to consult and agree in managed categories with the relevant Category Team Leader (CTL), whether current suppliers could be utilized. In non-managed categories, the LBU SCM manager should agree, before new suppliers are considered.

考虑引入任何新供应商前，为了减少引入新供应商，要求咨询 CTL (Category Team Leader) 并取得一致意见，确认是否现有的供应商可用。不在 CTL 范围的，引入新供应商前需取得 LBU SCM 经理同意。

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1.3 Applicability 范围

This procedure applies to all Divisions, Business Units and Category teams. The Supplier Qualification process is mandatory for new suppliers of direct material or project services. 此程序适用于所有的 Divisions, 业务单元及 Category teams。直接物料或项目服务新供应商必须实施本供应商认可流程。

For existing suppliers, each CTL and local unit has to identify suppliers required to be qualified to this new Procedure, timing and priority, ref chapter 2.4.

对于现有供应商，每个 CTL 和本地单元必须识别供应商是否需要按此流程进行认可，时机及优先级请参照章节 2.4.

This document is currently not applicable for:

目前此文件不适用于

- Indirect material & service suppliers
间接物料&服务供应商
- Transport, Trade & Logistic
运输、贸易&物流供应商
- Information System suppliers
信息系统供应商
- Facility management suppliers
设施管理供应商
- Project installation / erection services and civil works (Suppliers already covered by the [Subcontractor Qualification Procedure 3VAC000045](#)) in PS and PA, but can be used as a guidance
PS 及 PA 的项目安装/搭建服务及土木工程（此类供应商包含在 [Subcontractor Qualification Procedure 3VAC000045](#) 文件），但可以作为参考。

For low risk suppliers where the expected global yearly ABB spend is below USD 5.000, this procedure is optional.

对于低风险供应商 ABB 全球年采购金额小于 5000USD 的，本程序可选择性实施。

Specific for project business:

特别的，对于项目业务：

For uncritical suppliers a possible qualification waiver process is allowed and should be decided at Division/BU level (i.e. one-time purchase order, as portable water to site).


非关键供应商可以免于认可流程，但必须由 Division/BU 层级批准（即一次性采购订单，as portable water to site）

2.0 Supplier Qualification

供应商认可

The supplier qualification process is defined in two main parts to meet local ABB needs:

供应商认可流程分为两大部分以满足 local ABB 需求：

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- Company Qualification (main scope of this procedure)

公司认可（本程序主要描述此部分）

The purpose is to determine if the selected supplier as a 'Company' meets or has the potential to meet minimum requirements to do business with ABB.

Requirements include:

目的在于决定被选择的供应商作为一个“公司”是否符合或潜在符合与 ABB 做生意的最低要求。

Quality Management System, financially healthy, legally compliant, accepting ABB Supplier Code of Conduct incl. anti-corruption, health & safety, sustainability etc.

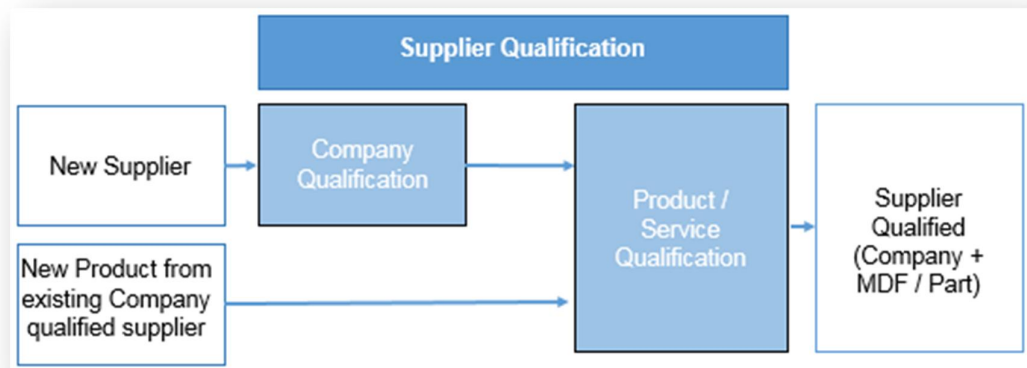
质量管理体系、财务健康、合规、接受 ABB 供应商行为准则包括反贪污、健康&安全、可持续发展等

- Product/Project service Qualification

产品/项目服务认可


The purpose is to determine if the supplier has the capabilities and processes in place to perform according to ABB requirements to deliver a specific product or service. For detailed execution, please refer to local procedures.

目的在于决定供应商是否有适当的能力以及过程来实施 ABB 要求以交付规定的产品或服务。详细的实施流程，请参照当地的程序。



Main objective for dividing the qualification into two parts is to enable any ABB unit to later build upon already performed Supplier Qualification activities. The re-use shall span from re-using certain, already performed assessments (e.g. overall company qualification, risk assessment), to taking on a complete Supplier Qualification.

把供应商认可划分为两部分的主要目的在于使任何 ABB 单元后续能够立足于已经实施供应商认可的活动。再次使用可以从使用某些已经实施评估的内容开始（例如整体的公司认可、风险评价）直至实施完整的供应商认可。

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Only if both the Company and the Product / Service has been evaluated as ‘*Qualified*’ or ‘*Conditionally Qualified*’ (reference 2.1.1) and the Company Qualification is documented in ProSupply, a regular purchase order can be issued to the supplier.

只有公司认可和产品/服务认可均评估为“合格”或“有条件合格”（参考 2.1.1 章节）并且公司认可可在 ProSupply 形成文件，采购订单才能发放给该供应商。

2.1 Qualification Status & Validity

认可状态及有效性

2.1.1 Status 状态

After a completed qualification process, the company qualification and product/service qualification is either ‘*Qualified*’, ‘*Conditionally Qualified*’ or ‘*Disqualified*’.

完整的认可流程完成后，公司认可及产品/服务认可不是“合格” “有条件合格”就是“不合格”

If either company or product / project service qualification status is ‘*Disqualified*’, no new business can be started. Any current business shall be de-sourced as soon as possible.

如果公司认可或产品/服务认可状态为“不合格”，则不开始新的业务。任何现有的业务应该尽快的被 De-sourced。

Note: The status ‘*Qualified*’ is also one of several minimum criteria for a supplier to later be classified as ‘*Preferred*’ or ‘*Approved*’. For more info see the [Supplier Classification Inside page](#).

备注：“合格”状态也是今后供应商分级时成为“Preferred”或“Approved”级别的几个基本条件中的其中一个条件。更多信息请查看内部网页 [Supplier Classification Inside page](#).


The company qualification is harmonized across all Divisions and Business Units to enable the re-use of company qualified suppliers.

公司认可在所有的业务部门及业务单元是一致的使公司认可的供应商能够再使用

The only possible deviation in the Company Qualification is if the risk category, for which the supplier has been qualified to by a unit, differs from the risk category another unit ranks the supplier.

在公司认可阶段仅可能的偏差是风险类别，某供应商获得某单元的认可，其风险类别可能不同于其他单元所给出的风险类别。

Note: before another ABB unit is considering to use an already Company qualified supplier, any exclusions or comments in the CQD must be reviewed.

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备注：其他 ABB 单元考虑使用已经是公司认可合格状态的供应商前，CQD 里体现的任何例外的情况或评语都必须再次评审。

Example 'Company Qualification':

公司认可举例

Unit A has already Company Qualified a supplier, ranked as 'medium company risk'.

Unit B wants to use same supplier:

某供应商已经是 A 单元公司认可合格状态的供应商，被列为“中公司风险”，B 单元想使用相同的供应商。

- a) *Unit B ranks supplier as "low company risk" or "medium company risk"*
 B 单元将此供应商列为“低公司风险”或“中公司风险”
 - o *Unit B can use the existing Company Qualification.*
 B 单元可以使用现有的公司认可
- b) *Unit B ranks supplier as "high company risk"*
 B 单元将此供应商列为“高公司风险”
 - o *Unit B can re-use already performed "medium risk" assessments, but has to perform additional assessments according to "high company risk" requirements.*
 - o *B 单元能再次使用已经完成的“中风险”评价，但必须根据“高公司风险”要求完成增加部分的评价。*

The product / project service qualification part will be subject to the relevant Division / Business Unit specific risk categorization. Each product/service qualification assessment performed will be valid only for that product range (e.g. *the product qualification of a MDF or part number is only applicable for this specific MDF or part number and does not automatically qualify a different MDF or part number from the same supplier*).

产品/项目服务认可部分将按照相关的业务部门/业务单元具体的风险分类实施。每个产品/服务资格评价的实施都只针对那个具体的产品范围（比如某 MDF 或物料号的产品认可只适用于这个具体的 MDF 或物料号，不会自动地认可相同供应商的不同 MDF 或物料号）。


Example “Product Qualification” 1:

“产品认可” 举例 1:

Unit A has already Product Qualified a screw from supplier X. Unit B wants to use same supplier X to supply castings, a different product:

A 单元已经产品认可了来自供应商 X 的螺丝。B 单元想使用相同的供应商 X 供应铸件，不同的产品:

- o *Unit B cannot use or re-use parts of the Product Qualification made by unit A, as it is product specific. Unit B has to do a full Product Qualification according to the applicable risk level.*
- o *B 单元不能使用或再次使用 A 单元的产品认可由于产品特性。B 单元必须按照适用的风险水平履行完整的产品认可。*

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Example “Product Qualification” 2:

“产品”认可举例 2:

Unit A has already Product Qualified a screw from supplier X, based on the product risk categorization = “medium risk”. Unit B wants to use same supplier for the same screw, but is ranking the product as “high risk”:

A 单元已经产品认可了来自供应商 X 的螺丝，基于产品风险分类= “中风险”。B 单元想使用相同的供应商供应相同的螺丝，但将产品列为 “高风险”：

- *Unit B can re-use the product specific assessments made as part of the “medium risk” product qualification, but has to perform additional assessments according to “high risk” requirements*
- B 单元可以再次使用该产品具体的 “中风险” 评估时完成的部分，但必须根据 “高风险” 要求完成增加部分的评价。

2.1.2 Validity and re-qualification

有效性及再认可

Company qualification:


公司认可

- For suppliers defined as ‘low risk’, there is no end date for the validity of the supplier company qualification
被定义为低风险的供应商 “低风险”，供应商公司认可没有终止期限。
- For ‘medium’ and ‘high risk’ suppliers, the Company qualification is valid for maximum 3 years.
“中” 及 “高风险” 供应商，公司资格有效期最多为 3 年。
 - More frequent requirement can be decided locally
更高频次的要求可由各地方决定
- For suppliers that have passed Achilles Stage 2, it is required to review the yearly updates. If all ABB requirements still are met, the qualification is renewed. This is documented by updating the qualification status date in ProSupply.
已经通过 Achilles Stage 2 的供应商，要求每年复评更新的内容。如果所有 ABB 要求的事项任然符合，则保持资格。这通过在 Prosupply 更新认可状态日期来证实。

If the requirements are no longer met, follow the Company qualification process flow, starting on step 7.

如果供应商不再符合要求，按照公司认可流程图，从第 7 步开始。

- For project suppliers not frequently used, it is sufficient to review the Achilles Stage 2 information before next PO placement.
对于不经常使用的项目供应商，在下达下个 PO 前复评 Achilles Stage 2 就够了。

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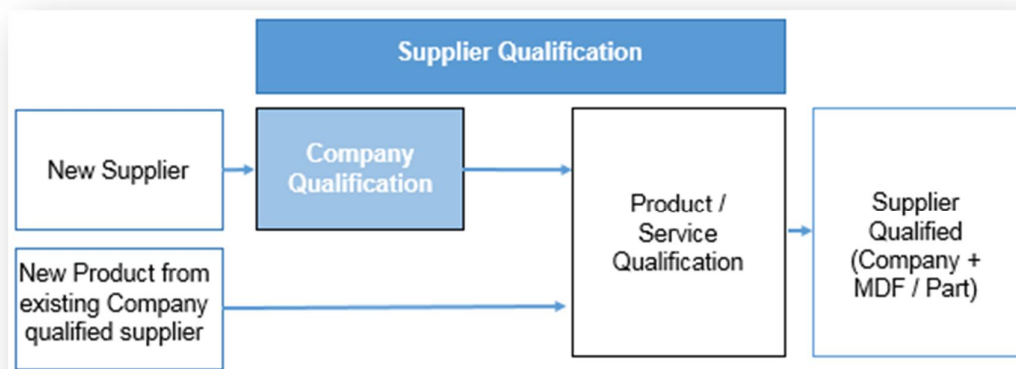
- For ‘*high risk*’ suppliers with infrequent use, it is recommended to review the qualification status before any major business is initiated.
对于“高风险”但偶尔使用的供应商，建议在任何主要的合作业务发起前复评公司资格。

Product/Project service qualification:
产品/项目服务认可

- The Product/Project service qualification validity time and requalification requirements have to be defined by the global Division or BU.
- 产品/项目服务认可有效时间及再认可要求必须由全球业务部或业务单元定义。

2.2 Supplier Company Qualification

供应商公司认可




Initial risk evaluation

初期风险评估

The company qualification process begins with the responsible qualifying unit conducting an initial company risk evaluation including an initial verification that the supplier is not listed in ‘[Sensitive & Prohibited Parties](#)’ database (see the Guideline ‘[How to verify if a supplier is listed in Sensitive and Prohibited Parties](#)’).
公司认可过程始于负责认可单元实施初期公司风险评估包括初期验证供应商是否列入‘[Sensitive & Prohibited Parties](#)’数据库（见‘[How to verify if a supplier is listed in Sensitive and Prohibited Parties](#)’指南）。

A supplier/supply can be categorized as ‘*Low*’, ‘*Medium*’ or ‘*High*’ risk (see [Appendix A, table 1](#) for guidance).

供应商/供应可被归类为“低”、“中”、“高”风险（见 [Appendix A, table 1](#) 指南）。

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The risk level will trigger different qualification requirements.

风险水平将触发不同的认可要求

Note: in some cases, like when we buy from a local sales office, the actual main risk is at a production unit located somewhere else. In these cases, we must also consider the need to evaluate/assess the risk at this production unit and potentially even do an on-site assessment.

备注：某些情况下，好比当我们从当地销售办事处采购，实际的主要风险是在一个位于某个地方的生产单元，那样的话，我们必须也考虑对这个生产单元的风险评估/评审需要，甚至可能实施现场评审。

After the risk evaluation, the company qualification process continues with the invitation of the supplier to the Supplier registration (Stage 1) through Achilles⁽¹⁾, First step is to secure the supplier has a GUID then send the invitation request to Achilles. Both steps are described in the guideline '[How to request a GUID, Achilles to invite a supplier and timing](#)'.

风险评估之后，公司认可过程随着通过 Achilles⁽¹⁾的供应商注册（Stage 1）供应商邀请继续，首先是确保供应商有 GUID，接着发出邀请需求给 Achilles,这两个步骤都在 '[How to request a GUID, Achilles to invite a supplier and timing](#)'有所描述。

After the supplier has completed Stage 1 and passed Achilles quality check, the results are made globally available in our supplier relationship management system (SRM) ProSupply.

供应商完成 Stage 1 并通过 Achilles 质量检查之后，检查结果在我们供应商关系管理系统（SRM）ProSupply 上全球范围内可获得。

⁽¹⁾Achilles is an ABB partner and global service provider of supplier registration and pre-qualification services.

⁽¹⁾Achilles 是 ABB 合作伙伴及供应商注册与资格预审服务全球服务提供方。

Notes:

备注

- The initial risk level might change during the process, as more information is captured. 随着过程中更多地信息被获取，初期风险水平可以改变。

- If a certain process step is not applicable for a specific supplier, it can be excluded but this must then be stated in the CQD (what and why).


如果某个过程步骤对某个具体的供应商来说不适用，它可以被排除在外但这必须在 CQD 里注明（什么及为什么）。

Example:

举例:

If a software supplier is classified as high risk for IT security only, an HSE assessment is not by default required.

如果某软件供应商只是 IT 安全被归类为高风险，HSE 评价不是默认的要求。

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2.2.1 Supplier Registration ‘Stage 1’

供应商注册 “注册 “册” 1 注

Every supplier is required to register with Achilles Stage 1. In this stage, they are requested to provide basic company information, e.g. company address, contact details and confirmation of compliance to ABB Supplier Code of Conduct etc ([see the Guideline ‘Achilles Stage 1 and Stage 2’](#)).

在 Achilles Stage 1 每个供应商被要求注册，在此阶段，供应商被要求提供基本的公司信息，例如公司地址、联系方式及 ABB 供应商行为准则的确认等等(见 [‘Achilles Stage 1 and Stage 2’](#) 指南)。

Stage 1 also includes 2 questions about Conflict Minerals (CM) and all product suppliers that have answered positively to the question *‘Do any of the products you supply contain any of the Conflict Minerals?’*, will automatically be invited by Achilles to provide additional information in Stage 1 - CM module.

Stage 1 也包括 2 个关于冲突矿产 (CM) 的问题以及对 “贵司提供的任何产品中包含任何冲突矿产吗” 做肯定回答的所有产品供应商，将自动由 Achilles 邀请以提供附加的 Stage 1-冲突矿产模板信息。

For more information, see Conflict Minerals SharePoint page – [Stream 3, supplier verification](#).

更多的信息，见冲突矿产共享平台网页：– [Stream 3, supplier verification](#)

Stage 1 is free of charge for the supplier.

Stage 1 对供应商是免费的。

Achilles will do a desktop completeness check of the supplier provided information but they will not assess if the information is acceptable for ABB.


Achilles 将进行供应商提供信息完整情况检查但是 Achilles 不评价供应商提供的信息 ABB 是否接受。

The qualifying unit evaluates the provided Stage 1 information and, if acceptable, continues with next step in the process.

认可单元评估提交的 Stage 1 信息以及，如果可接受，继续流程中的下个步骤。

If the qualifying unit decides that the information provided is not acceptable, they either: 如果认可单元确定提供的信息不可接受，以下二选一：

- Fill out the Company Qualification Decision (CQD) answer sheet and set the qualification status to *‘Disqualified’*.
填写公司认可决定 (CQD) 答题工作表并设置认可状态为 “不合格”。
- If the supplier is strategically important, define a mitigation action plan and document it in the Company Qualification Decision (CQD) answer sheet as a condition and set the (pre) qualification status to *‘Conditionally qualified’*.

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如果该供应商是具有重要战略意义的供应商，制定改进行动计划及在公司认可决定（CQD）答题工作表里此作为条件并设置认可状态为“有条件合格”。

2.2.2 Supplier Pre-qualification ‘Stage 2’

供应商资格预审“ Stage 2”

The decision to proceed to Achilles Stage 2 is made by the responsible ABB qualifying unit and is mandatory if one or more of the following criteria apply:

ABB 负责认可的单元决定是否进行到 Achilles Stage 2 而且如果出现下列一个或更多时 Stage 2 是必须的：

- Supplier has been categorized, as ‘Medium’ or ‘High’ company risk (see Appendix A)
供应商的公司风险等级为“中”或“高”公司风险（见附件 A）
- ABB’s yearly expected spend is greater than US\$100,000 (auto invited by Achilles based on supplier provided information in Stage 1)
预计的 ABB 年度采购金额大于 10 万 USD（基于供应商在 Stage 1 提供的信息此自动由 Achilles 邀请）
- Information provided by the supplier in Stage 1 or via other sources, raises any HSE, Quality, Compliance or Commercial concerns.
通过供应商在 Stage 1 提供的信息或通过其他来源,提出了任何 HSE、质量、合规或商业方面所关注的问题

Note: for how to invite to stage 2, refer to guideline ‘[How to request Achilles to invite a supplier](#)’.

备注：关于如何邀请至 stage 2，参见‘[How to request Achilles to invite a supplier](#)’指南


In Stage 2, ABB requires more detailed supplier data (see the Guideline ‘[Achilles Stage 1 and Stage 2](#)’). Please note that Stage 2 has replaced the old Supplier Qualification Questionnaire (SQQ) 9AKK102951. Stage 2 includes further compliance related questions (like Foreign Corrupt Practices ACT (FCPA)), as well as details on financial data including ownership structure, certifications, valid insurances, tax, Integrity and HSE etc.

在 Stage 2，ABB 要求更多详细的供应商数据(见 [see the Guideline ‘Achilles Stage 1 and Stage 2’](#)). 请注意 Stage 2 已经取代旧版的供应商资格问卷(SQQ) 9AKK102951. Stage 2 包括进一步的合规相关问题(比如反海外腐败法(FCPA)),以及详细的财务数据包括所有权结构、资质证书、有效的保险、税、诚信、HSE 等等。

Qualified ABB suppliers will be automatically re-invited by Achilles every 12 months (as part of Achilles standard process) to update the Stage 1 and Stage 2 information, as applicable.

适用时，合格的 ABB 供应商将每 12 个月自动地再次由 Achilles（按 Achilles 标准流程）邀请以更新 Stage 1 和 Stage 2 信息。

After completion, the supplier provided information will be automatically updated in ProSupply, and the qualifying ABB unit shall review the supplier provided information.

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完成后，供应商提供的信息将自动地被更新在 ProSupply，负责认可的 ABB 单元应复评供应商提供的信息。

By utilizing the qualification evaluation support list ([Guideline: How to Evaluate Achilles Stage 1 and Stage 2 result through the Evaluation Support List](#)), the responsible qualifying ABB unit can identify potential compliance issue areas. In case any compliance issue areas are detected, the responsible qualifying ABB unit must contact the supplier and unless the compliance issues are solved, stop the process, and look for an alternative supplier. Should the responsible qualifying ABB unit, after consulting the relevant Category Team Lead (for managed categories), decide to develop the new supplier to eliminate the critical area, the actions should be documented and, after completion, uploaded to ProSupply. Only after all actions are closed, supplier status “Qualified” or “Conditionally Qualified” can be assigned. 通过使用认可评估帮助列表 ([Guideline: How to Evaluate Achilles Stage 1 and Stage 2 result through the Evaluation Support List](#)), 负责认可的 ABB 单元能够识别潜在的合规问题区域，如果任何合规区域被发现，负责认可的 ABB 单元必须联系供应商除非合规问题得到解决，停止认可，并且寻找替代供应商。负责认可的 ABB 单元在咨询对应的 Category Team Lead（对应管辖的类别）后，决定开发新的供应商以消除关键区域，此措施必须形成文件并且完成后上传至 ProSupply。只有在所有措施关闭后，供应商认可状态才能被设置为“合格”或“有条件合格”。

Note: Any supplier who refuses any of the required Achilles steps will be disqualified since this is a key formal ABB requirement, ref our General Terms and Conditions (GTC) for purchase of Goods & Services (chapter 12.2) found on www.abb.com/supplying. Special exceptions require approval by the global Category Team Lead (CTL), if existing. If not existing, approval by the global BU SCM head is required and reasons to be added in ProSupply CQD.

备注：任何供应商拒绝任何 Achilles 阶段要求将是不合格的因为这是关键正式的 ABB 要求。参见 www.abb.com/supplying ABB 货物和/或服务采购一般条款(GTC)章节 12.2。特殊情况需要由全球 Category Team Lead (CTL) 审批，没有全球 CTL 时由全球业务单元 SCM 负责人审批并且把理由加到 ProSupply 的 CQD。

Exclusion: Suppliers that are not required to complete Stage 2:

例外： 供应商不需要完成 Stage 2

- **Key Customers to ABB.** The decision to be made in dialogue with responsible customer account manager in Sales.

供应商同时还是 ABB 大客户。在与销售的客户经理沟通后进行判定。


- Pure sales offices that only sell products to ABB from a factory already in Achilles Stage 2;

单纯的销售办事处仅仅卖某工厂的产品给 ABB，该工厂已经通过了 Achilles Stage 2

- Whole sellers, Stockists and Agents

经销商、批发商或代理商

- Project suppliers for Contracted service (ref procedure [Subcontractor Qualification Process](#) issued by PS).

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提供分包服务的项目供应商（参照 PS 发布的程序 [Subcontractor Qualification Process](#)）

- For infrequent project suppliers, who have completed Achilles Stage 1 but after repeated requests refuse to pay the Achilles stage 2 fee, the qualifying unit has the option to offer the supplier to manually enter the required data in the 'Pre-Qualification questionnaire for infrequent project suppliers'. In that case, the qualifying unit has to ensure that the information and documentation provided by the supplier is entered into ProSupply and updated regularly.

对于很少使用的项目供应商，该供应商已经完成 Achilles Stage 1 但在多次要求之下拒绝支付 Achilles stage 2 费用，认可单元可以选择由供应商在 'Pre-Qualification questionnaire for infrequent project suppliers' 里手工填写要求的信息。那种情况下，认可单元必须确保供应商提交的信息和文档进入 ProSupply 并定期更新。

For more information, please refer to the Guideline ['How to manage project suppliers refusing Stage 2 prequalification'](#).

更多的信息，请参见 ['How to manage project suppliers refusing Stage 2 prequalification'](#) 指南。

For more details about the Achilles process and supplier exclusions, please see the Achilles slide deck on [Achilles Inside page](#).

更多的关于 Achilles 流程和例外的具体内容，请参见 [Achilles Inside page](#) 网页上的 Achilles 幻灯片介绍。

2.2.3 Additional Assessments

增加评价

After the Stage 2 verification, the ABB qualifying unit has to evaluate if further assessments (desktop or on-site) are required. The local qualifying unit can also decide to conduct additional required assessments. They have to then be reported in the CQD answersheet under "other".


Stage 2 验证后，ABB 认可单元必须评估是否有进一步评价（文件或现场）的需要。当地的认可单元也可以决定执行需要增加的评价。他们必须接着在 CQD 答题表的 "other" 之下体现此。

Low Risk: If the supplier has been categorized as '*Low company risk*', no additional assessments are necessary.

低风险: 如果供应商被归为“低公司风险”，没有增加评价的必要。

Medium Risk: If the supplier has been categorized as '*Medium company risk*', the following assessments must be considered:

中风险: 如果供应商被归为“中公司风险”，下列评价必须考虑：

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- Financial risk evaluation. Follow the instruction in the "[How to Perform a Financial Analysis](#)" and determine if necessary.
财务风险评估。按照"[How to Perform a Financial Analysis](#)"作业指导书并决定是否有必要。
- Supplier Quality and HSE management system assessment is mandatory (request and desktop review key documents from the supplier).
供应商质量和 HSE 管理体系评价是必须的(要求和文件评审来自供应商的关键文档)
 - For certification requirements, see chapter 3.1
资质文件要求请参照章节 3.1

Local HSE manager to be consulted, if a [Supplier safety review](#) is required
如果要求 [Supplier safety review](#), 可以咨询当地的 HSE 经理。

High Risk: If a company has been qualified as '*High company risk*', also an on-site assessment of suppliers Quality/HSE management system is required, to validate key information provided by the supplier in Achilles Stage 2.

高风险: 如果公司已被归为“高公司风险”，还要求供应商质量/HSE 管理体系现场评价，以证实供应商在 Achilles Stage 2 阶段提供的关键信息。

Outcome of the assessment:

评价结果

- a) If any of the financial, HSE or quality management system assessments lead to a disqualification, the whole company qualification status is "*Disqualified*".
如果任何的财务、HSE 或质量管理体系评价产生不认可，整体的公司认可的状态为“不合格”
- b) If none of the financial, HSE or quality management system assessment lead to a disqualification, the supplier is '*Company Qualified*'.
如果财务、HSE 或质量管理体系评价都没有产生不认可，供应商为“公司合格”


If the result of the assessment is negative, the supplier is informed accordingly and if, in very seldom cases, the supplier is deemed important and relevant for ABB, the supplier is requested to develop and implement an improvement plan with the objective to later pass the company qualification:

如果评价结果是否定的，供应商收到相应的通知，罕见地，如果供应商被认为很重要以及
与 ABB 有关联，要求该供应商制定并且落实改进计划达到目标以在后面通过公司认可。

1. The supplier has to present an improvement plan with a clear time schedule to ABB to be jointly agreed upon before implementation.
供应商必须提交有着明确时间安排的改进计划给 ABB 以在实施前取得一致意见。
2. The supplier has to inform ABB when the improvement plan has been implemented. If a reassessment is not needed, the supplier is considered "*Qualified*". If a reassessment is needed to validate the improvements, a new assessment has to be performed.
当改进计划得到落实供应商必须通知 ABB。如果不需要在评价，考虑该供应商为“合格”。如果有必要在评价以证实改进，新的评价必须得以执行。

The key conclusions have to be documented in the CQD answer sheet.

关键的结论必须在 CQD 答题表上形成文件。

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2.2.4 Company Qualification Decision (CQD)

公司认可决策

All documentation relevant to the qualification has to be uploaded into ProSupply. All decisions and deviations related to the Company Qualification process have to be inserted, by the qualifying unit, into the 'Company Qualification Decision (CQD) answer sheet'. The CQD must be completed in ProSupply (see ['Company Qualification Decision answer sheet guideline'](#)).

所有与认可相关的文档必须上传至 ProSupply。所有与公司认可过程有关的判定和偏差必须由认可单元插入在“公司认可决定答题表”。CQD 必须在 ProSupply 里完成（见 ['Company Qualification Decision answer sheet guideline'](#)）。

Information contained in the CQD together with the assessment reports are essential for other ABB units to be able to re-use company qualification. Therefore, completeness and correctness is essential.

对其他ABB单元能够再次使用公司认可来说包含在CQD的信息与评价报告一起是比不可少的。因此，完整并且正确是至关重要的。

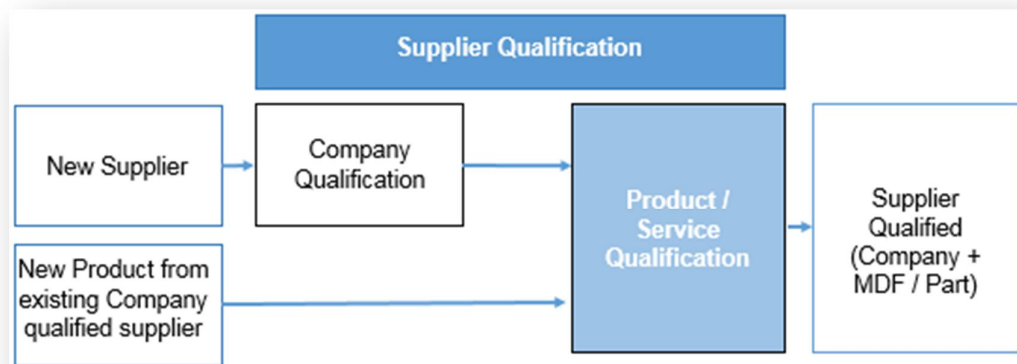
After successful Company qualification, the supplier is to be informed (standard ['Company Qualification letter'](#) to be used as a basis for this communication. If required, adapt the letter as relevant).


完成公司认可后，通知供应商（使用标准的['Company Qualification letter'](#)作为通知的基本格式，需要时，作适当的修改）。

The detailed process of Supplier Company qualification is explained in Process Flow 1
 供应商公司认可的详细流程在流程图 1 有注释。

2.3 Supplier Product/Project service Qualification

供应商产品/项目服务认可



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Supplier Company Qualification shall normally (unless for logistical reasons an on-site assessment is combined) be completed prior to qualifying suppliers to manufacture specific products, equipment or provide project services. The Product/Project service qualification shall be performed for both new and substantially modified products or services supplied by a Company qualified supplier or if a production line or production site is transferred. Product qualification by similarity is recommended if applicable and accepted by the qualifying ABB unit. A product or service will be either ‘*Qualified*’, ‘*Conditionally qualified*’ or ‘*Disqualified*’

正常情况下公司认可应优先于对认可供应商在具体产品、设备或提供项目服务的认可。产品/项目服务认可应被实施于新供应商及通过公司认可但提供的产品或服务被大幅修改或者如果生产线或生产地点发生了转换的供应商。产品认可由负责认可的 ABB 单元决定是否可用并且可接受。某产品或服务认可结论要不“合格”，要不“有条件合格”或“不合格”。

The qualifying ABB unit shall determine and follow the steps in the applicable process map for the product or service to be qualified:

负责认可的 ABB 单元应判定并且按照适用的产品或服务认可流程图中的步骤：


- **Production Material** (high volume, low volume, batch supply or other methods), Appendix C – Process flow 2
生产物料（大量、小量、批次供应或其他方式）
使用的流程图为 Appendix C – Process flow 2
- **Projects Material and Equipment**, Appendix C – Process flow 3
项目物料及设备，使用的流程图为 Appendix C – Process flow 3
- **Project Service**, Appendix C – Process flow 4
项目服务，使用的流程图为 Appendix C – Process flow 4

Part/service approval decisions and detailed documentation from the qualification (like PPAP, APQP, PSW, etc.) are to be stored according to local procedure.

零部件/服务批准决定及具体的来自认可的文档（如 PPAP、APQP、PSW 等等）按照当地程序要求保存。

Note: Further details about product qualification will be released at a later stage, examples: site/product type assessment checklists and quality tools (best practice) and at this stage the attached process flows (2-4) should be considered as a support. The product qualification information in this procedure is for guidance only and is not binding

备注：关于产品资格进一步的详细资料将在后面的阶段发布。例如：现场/产品型式评价检查表和质量工具（最佳做法）以及在此阶段附属流程图（2-4）应当作为支持文件加以考虑。在此程序里产品认可信息只作为指南并不是要约束什么。

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2.4 Qualification of existing Suppliers to ABB

现有ABB供应商的认可

For the Company Qualification part, a well performing and fully compliant existing supplier may be considered qualified if the information, via Achilles (stage 1 and stage 2 if required), has been reviewed and all the ABB requirements are concluded met.

对于公司认可部分，良好绩效以及完全符合的现有供应商可以被考虑为合格的如果这些信息已经通过 Achilles(stage 1 和 stage 2 如果需要)评审并且所有 ABB 的要求的事项评审结论为符合。

The CQD answer sheet has then to be filled.

紧接着 CQD 答题表必须填写。

The Product/Project service qualification part for, existing, well performing suppliers (ref Supplier Performance Evaluation, SPE) which have their current product or service already qualified and documented according to local requirements, no new Product/Project service qualification is required.

对于产品/项目服务资格部分，现有的、良好绩效的供应商（参见供应商绩效评估，SPE）这些供应商现有的产品或服务已经通过认可并且根据当地的要求形成了文件，没有新产品/项目服务认可的必要。

2.5 Results in ProSupply

在 ProSupply 体现认可结果

After completion, the CQD status has to be set in ProSupply, and relevant documents, as applicable, have to be uploaded to ProSupply too.

完成后，CQD状态必须在ProSupply里设置，相关的文件、如果适用的，必须上传至ProSupply.

For guidance, please see Guideline: [‘Company Qualification Decision answersheet Guideline’](#)

指导文件请参见指南‘[Company Qualification Decision answersheet Guideline](#)’

3.0 Supplier performance expectations and certifications


供应商绩效期望与资质文件

ABB requires all suppliers to always deliver high quality products and services on time.

ABB 要求所有的供应商总是准时交付高质量产品和服务。

Our general expectations and minimum targets are defined in our Supplier Performance Evaluation (SPE) Criteria set (ref scoring 100/80%). For actual details, see SPE SharePoint- [Criteria sets](#).

我们总体的期望与最低限度目标在供应商绩效评审（SPE）标准设置里定义（参照得分为 100%或 80%的描述）。现行的具体资料见 SPE 共享网站- [Criteria sets](#)

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Any unit is free to define more stringent supplier performance requirements than the minimum targets. It is however recommended, that these standards are equal inside a BU.

任何单元可以自由的定义比最低限度目标更严格的供应商绩效要求。无论如何建议在一个 BU 内部那些标准是相同的。

3.1 ISO certification requirements

ISO 认证要求

New suppliers to ABB

ABB 新供应商

New Suppliers must, to become or remain ‘Company qualified’, be already third party certified according to ISO 9001 (or similar recognized quality management standard). 新供应商必须，成为或保持“公司资格”，已经是根据 ISO9001 标准由第三方认证（或相似的认可的质量管理标准）

The valid certificate must be available in ProSupply.

有效的证书必须在 ProSupply 可找到。

ISO 14001/18001 (or similar, recognized environmental / health & safety management standard) is strongly recommended for suppliers of high risk MDF types, as listed in the qualification SharePoint under ‘[List of high HSE risk MDF codes](#)’.

强烈提议高风险 MDF 类别的供应商取得 ISO14001/18001 证书（或类似的，认可的环境/健康&安全管理标准），高风险 MDF 在‘[List of high HSE risk MDF codes](#)’共享网站被列出。

Existing suppliers to ABB

现有 ABB 供应商

Existing suppliers to ABB, in qualification/re-qualification process and not yet ISO 9001 (or similar) certified, must present a documented plan to be certified within 24 months.

现有的 ABB 供应商，处于认可/再认可过程并且仍未取得 ISO9001（或类似）证书的，必须提交形成文件的计划以在 24 个月内通过认证。

The plan must be reviewed, approved and followed-up by the qualifying unit.


该计划必须经过认可单元的评估、批准及跟进。

Until they are formally certified, they cannot reach a higher qualification level than ‘Conditionally qualified’

在供应商通过正式的认证前，供应商不能得到高于“有条件合格”更高的认可级别。

If the supplier refuses to commit to become certified, a process to replace the supplier to be initiated

如果供应商拒绝对通过认证表态，发起替代该供应商的流程。

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Exclusions

例外

- Low risk suppliers
低风险供应商
- Suppliers who also are key customers to ABB
供应商同时也是 ABB 大客户
- Distributors of ABB products (*unless also selling non-ABB products to ABB*)
ABB 产品经销商（除非也销售非 ABB 产品给 ABB）
- Suppliers defined by the customer in Project tenders. Note: since ABB still carry the supply risk for these suppliers, a request for certification shall still be made
供应商是项目招标时客户规定的供应商。备注：由于 ABB 任然为那些供应商承载供应风险，认证要求应提出。
- Suppliers who are pure sales office, distributor or agent
供应商是单纯的销售办事处，经销商或代理商。
- Any other general exclusions to be approved by both the concerned global BU SCMhead(s) and group head of SCM Quality & Compliance .
任何其它例外情况由对应的全球 BU SCM 负责人及全球 SCM Quality & Compliance 负责人批准。


4.0 Roles and responsibilities

岗位及职责

Division SCM	Consulted during the implementation of the use of the common Supplier Qualification Process (SQP) throughout the relevant supply base in his/her division.
业务部 SCM	通用的供应商认可流程（SQP）在其对应的供应基地使用实施期间提供咨询。
Global BU SCM	Secure global implementation of SQP. Decide on disputes or deviations on supplier status/permission.
全球业务单元 SCM	确保 SQP 的全球实施。供应商状态/许可出现争论或偏差时进行判定。
Qualifying ABB unit	Executes the Supplier Qualification Process.
ABB 认可单元	执行供应商认可流程。

5.0 Training & support

培训及支持

 ABB Identity Nr. 9AAK10103A5385	SCM Global Procedure Title:	Supplier Qualification
	SCM Global Procedure Number:	GP/SCM-12
	SCM Global Process Owner:	BF-SCM Head of Quality & Compliance
	Related Process	Supply Base Management
	Approved By:	SCM Council
	Effective Date:	2015.09.28

ELearnings covering the use of ProSupply from an end-user perspective are available through [ABB University](#).

通过 [ABB University](#) 可通过 Elearning 的方式学习包含 ProSupply 终端用户的内容。

For general ProSupply training, see ProSupply SharePoint, left menu "[Trainings](#)".

总体的 ProSupply 培训见 ProSupply 网站左边的"[Trainings](#)" 菜单。

For administrative ProSupply support, see ProSupply SharePoint, "[ProSupply support](#)".

有关 Prosupply 的管理支持见 ProSupply 网站"[ProSupply support](#)"

Slide show - [Global Supplier Qualification](#).

幻灯片内容见 [Global Supplier Qualification](#).

Webinar Supplier Qualification (TBD).

供应商认可在线培训（待定）

6.0 References

参考文件

- Product / Process Control Plan 9AKK102950 [Control Plan](#)
产品/过程控制计划 9AKK102950 [Control Plan](#)
- [ProSupply Procedure](#), GP/SCM - 01
[ProSupply 流程](#), GP/SCM - 01
- [Supplier Classification procedure](#), (GP/SCM-11)
[供应商分级流程](#), (GP/SCM-11)
- [Process assessment](#) (audit) questionnaire 9AKK102952
[过程评价\(审核\) 问卷](#) 9AKK102952
- Process assessment questionnaire [guideline](#)
过程评价问卷 [指南](#)
- [Subcontractor Qualification Process](#) (PS procedure)
[分包商认可流程](#)（PS 流程）
- [Sustainability Risk Assessment process](#)
[可持续风险评价流程](#)


7.0 Records

记录

The key output for this process:

此流程的关键输出为：

- Company Qualification Decision (CQD)
公司认可决策（CQD）
 - Qualification evaluation support list (for Achilles Stage 2)
认可评估支持清单（用于 Stage 2）
- Product Qualification/approval documentation and Decision, as defined in local procedures
产品认可/批准文档及决策，按照当地程序规定。

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8.0 Key terms & abbreviations

关键术语&缩写

Assessment

评价

Desktop or on site assessment to validate both statements suppliers made in the Supplier Qualification Process and other ABB requirements.

文件或现场评价以对供应商在供应商认可流程中所填报的及其它 ABB 要求进行评估。

Conflict Minerals

Gold, tin, tungsten and tantalum mined in the Democratic Republic of the Congo (DRC) and traded in the DRC or an adjoining country. Under the USA Dodd-Frank Act, companies publicly traded on New York Stock Exchange must report to the SEC from 2013 onwards.

冲突矿产

在刚果民主共和国(DRC)开采的金、锡、钨、钽并且在 DRC 或其毗邻国家交易。根据美国多德弗兰克法案，自 2013 年起在纽约证券交易所上市的公司必须向证券交易委员会报告。

CQD

Company Qualification Decision

公司认可决策

Direct Material & Project Services, DM&S

直接物料&项目服务，简称 DM&S

Product that goes into ABB products delivered to customers or supplied/subcontracted activities as part of a customer project

提供的/分包的产品构成交付给 ABB 客户的产品，或提供的/分包的活动作为客户项目的一部分。

FAI

First Article Inspection.

首件检验

FCPA

Foreign Corrupt Practices Act

反海外腐败法


GUID

Global Unique Identifier – for each supplier (and customer)

Note: a supplier can have several ERP identities (from different ERP systems) but only one GUID. Formally, the GUID is issued by GIS (not SCM)

全球唯一识别码——用于每一供应商（及客户）

备注：供应商可能有几个 ERP 号（来自不同的 ERP 系统）但是只有一个 GUID，GUID 由 GIS（不是 SCM）发放。

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HSE

Health and Safety Requirements

健康及安全要求

Indirect Material & Services, IM&S

间接物料&服务, 简称 IM&S

Product that does not go into ABB products delivered to customers or supplied services not related to a customer project

提供的/分包的产品没有构成交付给 ABB 客户的产品, 或提供的服务于客户项目无关。

MDF

Material Description Framework

物料描述框架

OPQ

Opportunity for Perfecting Quality (Cost of poor quality)

Opportunity for Perfecting Quality (不良质量成本)

PPAP

Production Part Approval Process is a part qualification process used by ABB. Well-known as well in other industries.

生产件批准程序作为 ABB 使用的认可流程中的一部分。在其他行业也是众所周知的

PSW

Part Submission Warrant

SDE

The Supplier Development Engineer (SDE) is responsible for supplier qualification and Supplier Assessment. Since SDE is not yet fully implemented locally, the role can locally also be Supplier Quality Engineer (SQE) or similar.

SDE 负责供应商认可及供应商评价。由于 SDE 还没有在各地全部实现, 该岗位可以是 SQE 或类似的岗位。

SPE

Supplier Performance Evaluation

供应商绩效评估

SRM


Supplier Relationship Management

供应商关系管理

TT&L

Transport, Trade & Logistics

运输、贸易&物流

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9.0 Revision History

修订记录

Revision 版次	Date 日期	Revision Notes 修订记录
01	New	Replaced old Quality Directive (GD/QO-01 SCM) 代替旧版GD/QO-01 SCM

10.0 Support Documentation

支持文档

[Link to the qualification SharePoint with all guidelines](#)

[链接至认可有关的所有指南](#)