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Sub-Tier Supplier Management Roles and Responsibilities

Document Number and Revision: 923-2349 Rev 11

Overview

This procedure leverages the contractually defined terms of Core and Non-Core to describe the roles and responsibilities of Oracle and Oracle's External Manufacturers (EMs), and Joint Development Manufacturers (JDMs) in managing Sub-tier Supplier activities.

Audience

This document is for Oracle users such as Supplier Management, Supply Chain Operations, Product Management, Product Engineering, Supplier Engineering, Business Unit Engineering, Engineering Service Organization as well as EMs to Oracle, JDMs, and Oracle's Sub-tier Suppliers.

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Introduction

The success of Oracle's highly leveraged Supplier business model demands accurate and timely communication between Oracle, Oracle's Suppliers, and their Sub-tier Suppliers. To simplify communication, expectations, and accountability, Oracle classifies all materials and assigns responsibility based on the material classifications.

In this document, 'Supplier' refers to External Manufacturers (EMs), also known as Contract Manufacturers [CMs] or [CEMs]), and JDMs. 'Sub-tier Supplier' refers to the manufacturer of components or sub-assemblies sold to Suppliers. 'Sub-tier Supplier' also includes authorized distributors of the manufacturer of components or sub-assemblies. Material from brokers must not be used for Oracle products unless authorized by Oracle in writing.

Core and Non-Core material classifications and the corresponding roles and responsibilities apply only to the parts purchased by Suppliers from their Sub-tier Suppliers. Note: the Core and Non-Core material classifications are not applicable to material purchased by Oracle for use within Oracle owned factories.

1. Material Classification

All materials are classified as follows:

- Core: Material selected is globally managed by Oracle, purchased by the Supplier for incorporation into Oracle products, and identified to Supplier. Oracle has the responsibility to define all strategic elements of Sub-tier Suppliers for Core materials, including lead time, flexibility, pricing, and quality. The Supplier will manage the tactical elements such as, but not limited to forecasts to Sub-tier Suppliers, PO placement, and ongoing assessment of material availability to support all demand plans, along with initial escalation if any issues arise that impact orders or availability of inbound materials to support the demand plan.

- The Product Award Letter (PAL) identifies which specific parts are Core material.

- Non-Core: Materials selected, globally managed, and purchased by the Supplier for use in Oracle products. Non-Core means all materials not identified as Core in the relevant PAL[1]. The Supplier has the responsibility to manage all elements of Sub-tier Suppliers for Non-Core materials, including pricing, lead time, forecasts, flexibility, and quality.

- Once materials are classified and documented, the responsibilities for certain key activities are described in the tables in *Appendix A*, *Material Classification and Responsibility Assignment*.

1.1. Core Materials

- Core materials are considered crucial to Oracle's success or competitiveness. Oracle retains the primary ownership of the supply base and typically invests in the relationship with the Sub-tier Supplier. Concurrent engineering between Oracle and the Core part Supplier also occurs frequently. Although Oracle will manage many technical and quality issues directly with the Core Material supplier, the EM / JDM is expected support various 3 way communications effecting the assemblies built for Oracle using Core parts; some of these communication vehicles include the following: ECO, MCO, ECR/PPCN deviations, process alerts.

1.1.1. Oracle (Management Responsibilities)

Oracle is responsible for managing the following aspects of Core materials:

- Primary quality procedures:

- Qualification

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[1] *Prior to the completion of the PAL, Oracle product teams will provide the Supplier with a list of Core material associated with their Product.*

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- Compliance
- Approvals and documentation
- Manufacturer and manufacturer part number selection
- Business splits
- Material availability after the Supplier completed the appropriate escalations

> **NOTE :** **After the Supplier completed level 1 and level 2 escalations with the component manufacturer.**

- Allocations
- Constrained materials used by more than one Supplier
- Constrained materials used by more than one Oracle business.
- Cost, licensing, IP ownership, and other contractual terms and conditions
- Conveying necessary information to Suppliers for execution

1.1.2. Suppliers

Suppliers are responsible for managing all aspects of cost, quality related to Supplier managed conditions, availability, and time to the market of Core materials, which includes but is not limited to accurate forecasting of the Supply Plan requirements, inventory management, excess, and obsolescence management. Suppliers are expected to use Oracle's collaborative planning and other product lifecycle tools for Core material.

At any time and for any reason Oracle can request directly from or share information   with Core material Suppliers, and actively manage any and all aspects of the Core material supply chain.

If a Core item is managed using the Buy/Sell process, then the Supplier does not need to provide a forecast to the Core part supplier. For parts managed under the Buy/Sell process, the Supplier's requirements for a Core part are coordinated through Oracle.

1.2. Non-Core Materials

Non-Core materials are any and all materials that are not Core, as communicated in writing to the Supplier by Oracle.

> **NOTE :** **Parts that are not specifically designated on PALs as Core are assumed to have been selected by the Supplier, and are considered Non-Core.**

1.2.1. Oracle (Management Responsibilities)

Oracle's responsibilities for managing Non-Core materials are as follows:

- The Supplier may consult with Oracle, engage with Oracle in selection and qualification activities, and seek informal approvals, but such approvals do not relieve the Supplier of their contractual obligations according to the current MSA.
- Although Oracle is not responsible for the direct management of the Non-Core material, Oracle is responsible to assure that the Supplier manages the Non-Core materials such that the product requirements are achieved.
- In the event some Non-Core material is used by multiple Suppliers, Oracle will work with each Supplier to assure that the material is qualified for the particular application.

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1.2.2. Suppliers

Suppliers are responsible for the following:

- Demonstrating that their management of the Non-Core materials is supporting the achievement of the end product's cost, quality, time to market, and availability requirements.

- Managing all aspects cost, quality, availability, upside, escalation management and time to the market of Non-Core materials; which includes but is not limited to accurate forecasting, timely PO placement based lead-times, inventory management, and excess and obsolescence management. Suppliers are responsible for timely notifications and submissions to Oracle for, but not limited to, component part status change, EOL, and Supplier claims.

- Supplier may source Non-Core material from any qualified materials within the Oracle sanctioned EM approved supplier list (ASL) as specified in the Item's Oracle Approved Manufacturer List (AML) but always retain complete responsibility and liability for the result of Sub-tier Supplier and material selections. Once the sources of Non-Core materials are qualified for a particular product they cannot be changed without Oracle's approval.

- Assuring that there are multiple sources for Non-Core material. Oracle must approve when Non-Core material has only a single or sole source. The Supplier is responsible to develop for Oracle's approval a risk mitigation plan for Non-Core material with only a single or sole source.

- Assuring that there is at least one Non-China manufacturing location from the qualified suppliers on the AML for all of the Non-Core material. The supplier is responsible to develop for Oracle's approval a risk mitigation plan for Non-Core material without a Non-China manufacturing location source. Manufacturing location is defined as the final point of manufacturing for the component by the component supplier.

- When multiple Non-Core part sources are qualified, and compliant to regulations and Oracle requirements, the Supplier must do the following:
    - 2 sources qualified and compliant- each source must be allocated at least 30% of the volume; or
    - 3 or more sources qualified and compliant- use at least 3 sources and each source must be allocated at least 20% of the volume.
    - Exceptions to this requirement must be approved by the appropriate Oracle supply chain director.
- The Supplier must track the Sub-tier Supplier financial health. Quarterly assessments must be made of all Sub-tier Supplier's financial stability. Risk assessment must include annual revenue, profitability, credit risk, cash flow, trends, and Dunn and Bradstreet rating for public companies.

- Part change notifications must be communicated to Oracle. Notifications are required for functional, material, process, and site changes. The Supplier must also notify Oracle regarding all of its sites using the material for Oracle products.

1.3. Escalations

Escalations are a formalized process, including management intervention by Supplier, and completion of the Oracle Escalation Form after all internal escalations have been attempted by Supplier. The escalation form is intended to provide Oracle with the required information to further the escalation effort with the provider in an attempt to stay on schedule for builds, shipment, and revenue. The Supplier's escalation support applies to both Core and Non-Core parts.

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Appendix A Material Classification and Responsibility Assignment

Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
1	Supplier Management	Maintain a list of preferred suppliers as well as potential suppliers	Oracle	EM	Have an Approved Supplier list or equivalent and an associated sub-tier management methodology -Process includes: Supplier selection, categorization and deletions.
					Supplier List maintenance: Quarterly updates
					The Supplier List must be aligned with Oracle's product roadmap and technology requirements. Supplier list must contain multi-sourcing opportunities.
2	Supplier Management	Manufacturing Location	EM	EM	Supplier to provide and update Oracle of manufacturing locations for each part number.
3	Supplier Management	Supplier selection	Oracle	EM	The Supplier must be able to demonstrate how the recommended Sub-tier Supplier supports the Oracle business. Oracle must sanction Sub-tier Suppliers selected by the Supplier. The Sub-tier Supplier must be capable of supporting Oracle's product requirements as well as the design team interface requirements (for example, data sheets in English, as necessary local application engineering support, etc.) and Oracle's general business requirements (for example, spend leverage, corporate social responsibility, business continuity, compliance to all applicable laws and industry standards, quality, etc.).Both Oracle and the Supplier may engage with non-sanctioned Suppliers to determine capabilities and cost competitiveness.
4	Supplier Management	Business Continuity Plan	Oracle	EM	EM to assure all sub-tier suppliers have a current BCP reviewed annually that complies with ISO 22301 & 22318 standards.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					The Supplier must exercise annual due diligence and continuous improvement over the Sub-tier suppliers BCP to assure the Supplier can satisfy their contractual obligations related to supply continuity and upside. Supplier to share results with Oracle upon request.
5	Supplier Management	RBA Membership	Oracle	EM	EM and Sub-tier suppliers shall be Responsible Business Alliance (RBA) members.
6	Supplier Management	Supplier Performance Management System	Oracle	EM	Performance metrics and 3rd Party audits of the EM and Sub-tier Supplier are required on a regular basis. This to include support of regulatory requirements.
7	Supplier Management	Regulatory and SER Compliance	Oracle	EM	Assure that product and component regulatory compliance requirements are satisfied on-time as required. Additionally comply with Oracle and RBA Code of Conduct EM performs bi-annual RBA Validated Assessment Program (VAP) audits of key Sub-tier Suppliers (list of Suppliers must be jointly agreed to with Oracle) and other Suppliers who regularly fail to meet goals, focusing corrective actions. The Supplier maintains and shares their sub-tier audit schedule and audit results with Oracle.
8	Part Management	Part selection	Oracle	EM	Assure that the product's cost, quality, availability and compliance requirements are satisfied. Gather and maintain accuracy of Non-Core material manufacturing site locations. This information to be provided to Oracle upon request. Note: For new parts Oracle must provide part specifications or select from EM's PSL and add to Oracle AML. Refer to document 923-7041167 EM Non-Core Process

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
9	Part Management	Part status (U, Q, R, D, Z, E)	Oracle	EM	Assure that the product's cost, quality, and availability requirements are satisfied. Notification of part and/or process change is required. All product and part changes and process changes must be approved in the application, no changes without qualification at some level from paper to full DVT and PVT may be required but notification must be made to Oracle operations team for evaluation.
					EM/CM must have controls to manage to Oracle AML Codes/Status by Part Number.
					Refer to document PROC-10048 AML Status Code Process Guidelines
10	Part Management	Manufacturer Component Part Numbers (MPN). EM Definition of Preferred Packaging Codes to align with needs of EM site equipment	EM	EM	Component Packaging codes embedded within MPN's: -Oracle will not accept any change requests from EM's to change existing MPN's for Component Delivery Packaging Codes. -Default Packaging Delivery Codes within Component MPN's are intended to be utilized by multiple EM's to specify their unique packaging requirements. -MPN's provided by Oracle will continue to include Default Component Delivery Packaging Codes to maintain integrity of MPN's. -EM's must adjust MPN Packaging Codes in the Purchasing Process to specify their packaging preferences (T&R, Tray)
11	Business Management	Commodity strategy	Oracle	EM	Develop and align with Oracle product roadmap from both a technology perspective and also a commercial perspective. Optimize and share business splits, pricing, order sizes, etc. to optimize cost, quality and availability

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
12	Business Management	Contracts	Oracle	EM (Oracle strategic License and IP per Award Letter)	Assure that EM contract and regulatory obligations to Oracle can be satisfied.
13	Business Management	Price negotiations	Oracle	EM	Assure that the product's cost requirements are satisfied.
					If the Non-Core cost targets are not met, the EM will develop and executed a plan to achieve the cost targets.
					If the Non-Core cost targets are not met, then Oracle may negotiate with the sub-tier supplier.
14	Business Management	Business splits	Oracle	EM	Assure that the product's cost, quality, and availability requirements are satisfied. Share and execute business splits per the appropriate commodity strategy.
15	Materials Management	Forecasting and Purchase Orders	EM	EM	Assure that availability of all required materials to support demand plans, including upside requirements, are met. The supplier will provide appropriate forecasts for both Core and Non-core parts. Use Oracle's collaborative planning tools for Core material. Note: Oracle's demand plan drives P1 and production material requirements. EM to propagate Oracle's multi-quarter forecast in a non-binding fashion to the sub-tier suppliers. If a Distributor is being used, then EM must assure the multi-quarter forecast is being correctly propagated through the Distributor to the OEM sub-tier part supplier.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					The Supplier must manage Oracle Unique Turnkey Component (OUTC), also known as OUM (Oracle Unique Material), material to lead-time and is liable for purchase orders outside of lead-time. Oracle must be identified as the end customer on every PO for Oracle.
16	Materials Management	Inventory management	EM	EM	Assure the material availability to support the product lead-time. Inventory shall be managed on a FIFO basis.
17	Materials Management	Material Shortage	Oracle	EM	EM is responsible for internal activity to resolve shortage up to and through EM Executive team. EM to notify Oracle of shortages that may impact delivery commitments to Oracle PO's. EM will continue to be responsible for resolution of shortages until they are closed.
18	Materials Management	Allocations of constrained material	Oracle	Oracle	EM to contact Oracle regarding allocation of constrained material. Oracle will decide how to allocate constrained material.
19a	Materials Management	End of life (EOL) execution	EM	EM	Upon the receipt of part EOL notifications, follow-up with Oracle to assure that AML status is changed. Mitigate potential excess and obsolete (E&O) including but not limited to: PO cancelations, returns, sales to other supplier sites, broker sales, sales to other customers. In addition, Supplier shall commit to revisit MOQs within 6 months of EOL to optimize final procurement sizes to reduce E&O risk. For any E&O material for which the Supplier believes is Oracle's responsibility, the Supplier must demonstrate through waterfall analysis and other techniques proof of Oracle liability and that proactive steps were taken to avoid and mitigate the E&O.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					Any claim must be presented within 45 days of the event. EM will mitigate material E&O and settle OUM/OUTC E&O directly w/Oracle.
19b	Materials Management	End of Life (EOL) execution	Oracle	Oracle	Regarding Oracle Core and critical Non-Core Oracle Unique Turnkey Components (OUTC) or Oracle Unique Material (OUM), Oracle will be responsible for working directly with sub-tier suppliers to validate Oracle liability at sub-tier site and supply chain, which will include: finished goods, work-in-process, raw material, and on-order raw material unique to Oracle. Oracle shall work directly with Sub-tier Supplier to affect the proper disposition of Oracle-Owned tooling.
20	Supplier Development	Road map, gap analysis, direction	Oracle	EM	Assure Sub-tier Suppliers have the products and processes necessary to support Oracle's product roadmap. Although the EM has the lead responsibility, Oracle may assist with some technology related development.
21	Quality Management	Qualification - Supplier	Oracle	EM	Assure the following: -Oracle quality standards are met, and comply with Oracle's AQP. -Processes that demonstrate capability to qualify and disqualify vendors including, but not limited to the following: component suppliers, calibration vendors, logistics service providers, and other Suppliers who support Oracle products. -Processes are documented which assure that each site providing parts for Oracle products is qualified or disqualified.
22	Quality Management / Product Specifications	Qualification - Qualification Part for AML status	Oracle	EM	Assure that Oracle product quality and reliability specifications and acceptance criteria as defined in the Award Letter are met. Oracle reserves the right to review and provide input.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					Oracle must be notified of any form, fit or functional issues prior to submitting part for AML approval.
23	Quality Management / Product Specifications	Early Supplier involvement (ESI) and design for manufacture (DFx)[1]	Oracle	EM	Assure that Sub-tier feedback is provided to Oracle. Oracle reserves the right to review and provide input.
					Engage in early builds must include DF[1] feedback and reporting concerns for form, fit and function.
24	Quality Management	Failure analysis (FA), Root cause (RC), and Corrective action (CA)[2]	Oracle	EM	EM to comply to *Root Cause and Corrective Action (RC/CA) Guidelines for Oracle and Oracle Suppliers,* 923-3148 Guidelines on RCCA for Oracle and Supplier
25	Quality Management	Stop ship and purge decision	Oracle	Oracle	EM is responsible for data and execution of Oracle's decision. Refer to *Stop Ship and Purge (SSP) Process*, 923-1826.
26	Quality Management	Scorecard and quarterly management review (QMR)	Oracle	EM	Assure that Oracle quality standards are maintained. Regular reviews of the metrics developed and managed through the scorecard process.
27a	Quality Management	Agency approvals and Regulatory Compliance related to manufacturing operations	EM	EM	Refer to AQP Matrix for Safety and Regulatory Compliance

Factory and Non-Core material certifications and approvals' - manage and fund.

The Supplier must maintain the applicable site and Non-Core material certifications throughout the product's life cycle.

Certifications must be retained and provided to Oracle upon request. |
| 27b | Quality Management | Agency approvals and Regulatory Compliance | Oracle | Oracle | Refer to AQP Matrix for Safety and Regulatory Compliance |

[1] Stands for specific 'Design For' activities. For example, Design For Test, Manufacturing, Assembly, Lead-Time, etc.

[2] For many failures, both Oracle and EM will jointly engage. The lead responsibility for engaging with the Sub-tier Supplier is shown in the table.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					Product and Core material certifications and approvals' - support per product Custom Work Exhibit (CWE) and statement of work (SOW).
28a	Quality Management	Engineering change order (ECO)	Oracle	EM	Assure that Oracle's committed turn-around time is maintained. Supplier must pull the ECO package within two business days of release.
					The EM must send ECO that affect sub-tiers within one day of accessing release.
					The EM is not responsible to manage the technical content related to releasing or modifying a Core part, but the EM is responsible to manage the structuring and implementation into the assemblies manufactured by the EM.
					Sub-tier impacts must be included in the Supplier's Effectivity response to Oracle.
					The Supplier must notify Oracle at least 2 days before an implementation / effectivity date is changed.
28b	Quality Management	Engineering change order (ECO)	Oracle	Oracle	Custom/build-to-print technical aspects (drawings, specs, etc.) to be managed between Oracle and build-to-print sub-tier supplier. Oracle to confirm sub-tier understands requirements and approves FAI. EM to be copied and made aware of the technical requirement changes.
29	Quality Management	Process change notification	Oracle	EM	In the event that the Supplier or a sub-tier of Supplier's proposes to change, including JEDEC requirements, an Oracle qualified manufacturing process for a product or component, the Supplier must provide Oracle through Oracle's Part and Process Change Notification (PPCN) Tool or other mutually agreed tools, at least 90 days prior to proposed change implementation date. PPCN Spec: *Supply Chain Product and Process Change Notification (PPCN) Request Procedure*, 923-2465

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					PPCNs received from sub-tier suppliers should be provided to Oracle within 2 business days of receipt by the Supplier regardless of PLC phase.
30	Asset[3] and Quality Management	Product specific tooling management	Oracle	EM	-Validate need for tooling (for example, H/T compared to S/T etc.).
					-Get multiple quotes.
					-Review the quotes, and assure only product specific tools according to Oracle's policy.
					-Place purchase orders with sub-tiers.
					-Approve the tools for production. Note: Oracle must also approve Oracle owned tools before they go into production.
					-Assure that asset tags are in place with sub-tiers. The Supplier will maintain tooling records, including asset tagging or other means of tracking, managing and safeguarding Oracle-owned tools. The information maintained by the Supplier must include information sufficient to establish the product or component for which they are used, physical location, maintenance records, and other information which can be determined to be necessary. The Supplier must make this information available to Oracle and/or Oracle can audit such information upon reasonable request.
					–Assure that tool usage rates do not exceed their design specified limit. Track and report tool wear and replacement cycles.
					–Perform first article inspections (FAIs) on any tooling modifications; reference *Mechanical Part and Sub-Assembly Qualification and Approval Process*, 923-3402

[3] Applies to Oracle funded assets and tools.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
					–Manage the transfer and disposal of tools directly with sub-tiers.[4] Reference: Best Practices Guidelines for Manufacturing and Repair Vendors, 923-3695
31	Quality Management	Perform FAIs and archive in an area viewable by Oracle	Oracle	EM	Part Approval Requirements per *Mechanical Part and Sub-Assembly Qualification and Approval Process,* 923-3402
32	Quality Management	Cascade Quality Requirements	Oracle	EM	Identify applicable requirement documents within Oracle's Advanced Quality Plan (AQP) and cascade accordingly to sub-tier suppliers. Ensure that the sub-tier is compliant to the latest versions. For additional reference, see *Manufacturing/Operations Requirements Advanced Quality Planning (AQP) Matrix*, 913-3592.
33	Quality Management	Supplier part 'Black List' management.	Oracle	EM	The Supplier has a 'Black List Process' for ensuring that previously purged parts are not used on any Oracle product. The EM's Black List Process incorporates Oracle's Black List. The Supplier has a global process for communicating and updating its Sub-tier Suppliers with the Black List. For details, refer to *Stop Ship and Purge (SSP) Process*, 923-1826.
34	Quality Management	Quality record keeping	Oracle	EM	Assure that sub-tiers archive quality data, considered to be quality records, for the term specified in the MSA or greater if required by country law. To be audited at least annually. Evidence to be provided to Oracle upon request.

[4] Product specific tooling for Non-Core Oracle Unique Turnkey Component. (OUTC), also known as OUM (Oracle Unique Material), parts will still be owned by Oracle and will be placed on the PAL Tooling Exhibit.

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Item	General Task	Activity Description	Core	Non-Core	EM Performance Standard (EM contractual obligations are fully met)
35	Quality Management	Process Control	Oracle	EM	Per *Mechanical Part and Sub-Assembly Qualification and Approval Process,* 923-3402, and per *External Manufacturers (EM) Sub-tier Quality Management Requirements,* 923-3724
36	Quality Management	Sub-tier Supplier audits	Oracle	EM	The Supplier maintains and shares their sub-tier audit schedule with Oracle at a minimum quarterly.
					EM performs annual audits of key Sub-tier Suppliers (list of Suppliers must be jointly agreed to with Oracle) and other Suppliers who regularly fail to meet goals, focusing on process, capability, data collection, and root RCCA.
					EM highlights to Oracle any issues that could impact product quality or continuity of supply within 24 hours of the audit completion. It is recommended for internal ease of use, that EM has a global repository for all their sub-tier audit reports. For additional details, refer to *External Manufacturers (EM) Sub-tier Quality Management Requirements,* 923-3724.
37	Quality Management	Core Commodity Management and Reporting	EM	EM	*Storage Device Manufacturing Requirements for External/Internal Manufacturer (EM/IM) and Joint Design for Manufacturing (JDM) 7358618.* *External Manufacturer (EM) Data Reporting and Support Process Requirements for Memory,* 923-3522.

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Reference Information

Reference Documents and Records

Document Title	Number	ESO Controlled [5]	
		Yes	No
EM Non-Core Process	923-7041167		
AML Status Code Process Guidelines	PROC-10048	x	
Manufacturing/Operations Requirements Advanced Quality Planning (AQP) Matrix	913-3592	x	
Stop Ship and Purge (SSP) Process	923-1826	x	
Supply Chain Product and Process Change Notification (PPCN) Request Procedure	923-2465	x	
Root Cause and Corrective Action (RC/CA) Guidelines for Oracle and Oracle Suppliers	923-3148	x	
Mechanical Part and Sub-Assembly Qualification and Approval Process	923-3402	x	
Storage Device Manufacturing Requirements for External/Internal Manufacturer (EM/IM) and Joint Design for Manufacturing (JDM)	7358618		
External Manufacturer (EM) Data Reporting and Support Process Requirements for Memory	923-3522	x	
Best Practices Guidelines for Manufacturing and Repair Vendors	923-3695	x	
Mechanical Part and Sub-Assembly Qualification and Approval Process	923-3724	x	

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[5] All references to documents controlled by Engineering Services were current when this document was released. All hard copies of this document are to be used for reference only.

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Document History and Approvals

Dash	Rev	Date	Description of Change	Originator
01	A	13 Nov 1997	Initial release.	
02	A	14 Apr 1998	Updated table information and added three acronyms.	
03	A	06 Feb 2002	Major rewrite to document accountability for key tasks. Additional EM responsibilities assigned.	
04	A	25 Sep 2007	Updated Section 2.1.	
05	A	19 Apr 2011	Aligned with the letter and spirit of the new MSAs. Eliminated the 'Non-Core Critical' term, and provided a process to classify and manage the issues which lead to the creation of the 'Non-Core Critical' term.	
06	A	05 May 2016	Added specific document references and details on forecasting. Added Section 1.3 (escalations). Updated Audience, Overview, Introduction, Sections 1, 1.1, 1.1.2, and 2. Appendix A - Removed number 6 (sub-tier relationship lead). Updated numbers 1 (list of preferred suppliers), 4 (part selection), 5 (part status), 6 (commodity strategy), 8 (price negotiations), 9 (business splits), 10 (forecasting and purchase orders), 11 (inventory), 13 (allocations), 14 (BCP), 15 (EOL), 16 (road map), 17 (supplier qualification), 18 (qualification part for AML status), 19 (ESI and DFM), 20 (FA, RC, and CA), 23 (combined agency and regulatory compliance sections), 24 (ECO), 25 (PCN), 26 (tooling management), 27 (FAIs), and 31 (process control).	
07	A	05 Apr 2021	Updated terminology and removed reference to WWOPS, SCO and any organization names. Removed section 2 determining Material Classification. Edits in Secion 1.2.2 Suppliers to provide more clarity on ASL requirement and Appendix A: #1 Added requirement for multi-sourcing. #2 Added section requiring advising of manufacturing locations. #3 Added supplier selection requirements. #4 Added business continuity section (moved from #14 in Materials Management section). #5 Added RBA membership section. #6 Remove reference to R, Y, G. #7 Added section for SER and Compliance requirements. #8 Add reference document, add requirement for non-core manufacturing location, add availability and compliance to requirements. #9 Add part status U, Q, E and reference document for definitions. #10 Add share and pricing to split requirement. #11 Add regulatory. #13 Add share. #14	

| | | | Remove CP, define OUTC and add OUM. #16 Change Escalation to shortage. Clarify expectation for EM to resolve shortage and advice Oracle of any impact to delivery commit. #18 split to A, B & C for Oracle and EM responsibilities. Updated #19 to provide more detail of what EM is responsible for in EOL management. Added #19 B for Oracle responsibilities. #21 AVL changed to AML. #23 & #24 Reference document name changes. #26 split to A & B to separate Oracle and EM responsibilities. #27 Remove reference to Agile and change requirement from 5 to 2 days. Added section #27B to reference Oracle responsibilities of product and core material certifications. #28 created A & B to assign communication of ECO specs directly from Oracle to EM sub-tier. #28, #29, #31, & #32 Reference document name change. #33 Audit requirement added. #34 & #36 Reference document name change. Remove Appendix B

Review Version C: Clarified P. 4 of document: "Suppliers can change sources of Non-Core materials within the Oracle sanctioned EM approved supplier list (ASL)...." It should be more clear that sub-tier supplier must be on the Item's AML to use a source, not just an a generic ASL.

Review Version D: Fixed document part number 7041167 to 923-7041167. | |
|---|---|---|---|---|
| 08 | A | 25 Feb 2022 | Reformat to Redwood Template | |
| 09 | A | 05 Dec 2022 | Update section 1.2.2, change 5th bullet from: "…at least 20% of the volume" to "…at least 30% of the volume". This is to provide a larger share to the minority source so they have a better opportunity to take on a larger share if the primary source has delivery issues. | |
| 10 | A | 18 Aug 2023 | update section 1.2.2, 5th bullet. Made corrections to ensure consistent usage of the non-core term Updated sourcing requirements when the AML has 3 or more qualified suppliers | |
| 11 | A | 16 Jan 2025 | Additional bullet to provide requirements for Non-China sourcing on page 4. | |

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