PROSPIRA

# Supplier Quality Assurance Manual

## Quality Policy

"At Prospira America, quality is a primary management philosophy. Prospira America is committed to satisfy applicable requirements, achieve internal quality goals and objectives and continual improvement of the Quality Management System. Our quality policy is understood at all levels in the organization."

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## Revision History

| Date | Revision | Description of Changes |
|---|---|---|
| 05/11/23 | Initial Release | |
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PROSPIRA

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| 1.0 Introduction | Rev A | 01/02/2023 |
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## 1.1 Purpose

The purpose of this manual is to establish requirements for suppliers to Prospira America. This manual outlines the requirements for Quality Systems, Supplier Quality Performance, Process Quality, SCAR, Purchasing Requirements and Materials Requirements. Within each section will be a detailed explanation of the requirements.

## 1.2 Scope

This manual shall apply to all Suppliers that provide PSAM with services, tooling and direct materials which are utilized in the manufacture of finished goods and offered for sale to its customers.

## 1.3 Terms and Definitions

| | |
|---|---|
| AIAG | Automotive Industry Action Group |
| PPAP | Production Part Approval Process |
| SCAR | Supplier Corrective Action Request |
| Containment | Supplier's ability to control product integrity |
| ASL | Approved Supplier List |
| Qualification | Acceptance onto BAPM's Approved Supplier List |
| Disqualification | Removal from BAPM's Approved Suppliers List |
| PSAM | Prospira America |
| IWI | Individual Work Instruction |
| IMS | Inspection Methods Sheet |
| EPC | Early Production Containment |
| IPP | Initial Parts Production |
| RFQ | Request for Quotation |
| CSR | Corporate Social Responsibility |
| QCD | Quality, Cost & Delivery |
| PSW | Part Submission Warrant |
| IMDS | International Material Data System |
| KPI | Key Performance Indicator |
| 4M Change | Any change related to Man, material, method, and machine. |
| OTD | On-time delivery |
| DCP | Design Change Proposal |
| PCR | Process Change Request |
| PSAM | Prospira America |

## 1.4 3rd Party Registration

Prospira America requires all of its suppliers to achieve ISO-9001 Quality System Certification as a minimum requirement. The supplier must maintain its certification with an accredited registrar and must furnish copies of its registration certificates to PSAM Purchasing at the time of receipt, updating annually.

Current or potential suppliers, which do not have a 3rd party certification, will not be considered for new business until the they can show the successful completion of ISO 9001 certification, as a minimum

requirement. Current suppliers who have not maintained their 3rd party certification may be considered for continuation of current business, contingent upon a successful PSAM Supplier Quality System Assessment. This assessment will be used to determine if an adequate system exists to guarantee the delivery of acceptable product quality, while the supplier works to regain 3rd party certification to the international standard. Failure to show progress toward 3rd party certification or failure to regain 3rd party certification within 12 months of certification being revoked or expiration may lead to corrective action up to and including desourcing.

### 1.5 Supplier Contact Information

The Supplier Information Report (Appendix I) should be used to communicate changes in the supplier organization so that PSAM can contact the appropriate person when needed. At a minimum the form should be updated in January of each year and submitted to the appropriate PSAM Purchasing Agent. Additional updates are expected, as changes occur, to key contacts identified on the Supplier Information Report (Appendix I).

### 1.6 KPI Monitoring

All suppliers must identify and monitor KPI as a requirement of their ISO 9001 2015 / IATF 16949 quality management system. Key Performance Indicators must include target values and should be evaluated periodically in an effort to identify areas for continuous improvement. PSAM reserves the right to request the disclosure of Supplier's KPI's, their targets, actual data and activities resulting from their evaluation, at any time. The supplier must provide KPI documentation upon request.

## 2.0 Selection and Evaluation of Suppliers

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### 2.1 Request for Quotation

The PSAM Purchasing Department will provide an official copy of the PSAM engineering drawing along with a RFQ (QF44) communicating project start of production timing, vehicle platform, planned annual volume, part number, and any part specific requirements to potential suppliers. Suppliers must complete the RFQ, including cost breakdown by the assigned due date to insure consideration for the potential business. Quotes will be summarized and counter-offers and /or negotiations will be utilized when applicable.

### 2.2 Qualification for PSAM Approved Supplier List

The supplier selection and approval process begins by being identified by PSAM as a viable source for a specific part, material or commodity. Consideration is based on the best fully conforming RFQ and supplier capabilities.

A Supplier Assessment (Appendix II) may be forwarded to a supplier for completion when PSAM is considering awarding new, additional business and/or prior to an on-site assessment being performed. Along with the self-assessment survey the supplier must provide copies of objective evidence to support their results. If on-site assessment is performed, the supplier will be expected to show objective evidence that the system being reviewed is in place and is functioning as expected. This includes KPI targets, actual data, and review of documentation within the categories of Quality Performance and Process Control. PSAM, at its discretion, may perform on-site assessment of any of its suppliers or tier-n sub-suppliers with adequate notice. The PSAM Purchasing Agent or Supplier Quality Representative shall give said notice in writing to the supplier.

Failure to comply with PSAM qualification activities, complete self-assessments or allow on-site surveys may result in the supplier not being considered for new business or being removed from the ASL. Removal from the ASL automatically prevents the supplier from quoting new business and will give PSAM the option to move any existing business to a compliant supplier.

Quality system assessments performed by an approved second party or an accredited third party certification body/registrar may be recognized in lieu of audits performed by PSAM. PSAM reserves the right to conduct an assessment, at any time, if deemed necessary. If a change in the suppliers' certification status occurs, the supplier shall notify the PSAM Purchasing department in writing within 24 hours. An Approved Supplier list will be maintained by PSAM. The listing will be updated on a continuous basis by the Purchasing Department.

A Probationary Period of six months will be assigned to all newly qualified suppliers, current suppliers providing a new product type, and current suppliers who have a reported change in Certification status, at the discretion of the PSAM Purchasing and Supplier Quality Managers.

## 2.3 Supplier Performance Reports

PSAM will issue performance reports (Appendix III) to all suppliers providing mass production level products. The rating is based on a 100 point scoring system and is comprised of three categories; quality (PPM), delivery (OTD), and number of supplier alerts issued. Supplier alerts for repeat issues, issues with safety concern and those which create a negative impact on PSAM's Customer will be referred to as SCARs and will be scored with greater impact on the supplier's overall performance. Refer to Table 1 to see how the points are calculated. PSAM encourages its suppliers to facilitate Top Management Review of all performance reports and implement improvement and recovery plans as requested by PSAM Supply Chain Management (Purchasing, Supplier Quality and Materials Management). PSAM reserves the right to request a documented improvement and recovery plan detailing the supplier's actions to correct any deficiencies. It is PSAM's responsibility to approve the timing of the plan and the supplier's responsibility to ensure all improvement and recovery activity is completed on time per the documented/approved plan. Ongoing periodic updates may be requested by PSAM Supplier Quality, Purchasing or Materials Planning Departments. PSAM may require a supplier to come on site and present their progress toward the plan if continued poor performance or delays are observed.

Table 1: Supplier Performance Rating System (100 points max)

| Rating System = 100 Points Possible | | |
|---|---|---|
| PPM = 15 pts | Concerns = 35 pts | Delivery = 50 pts |
| 0 = 15 | Ea. Scar = 15 pts | Delivery % x 50 |
| 1-500 = 10 | Ea. Alert = 5 pts | (Delivery % = Pcs |
| >500-1000 = 5 | | Received on-time / Pcs |
| >1000 = 0 | | Orders x 100) |

PSAM will calculate the Supplier Performance Ratings in a yearly calendar format. The report scores will show the performance ratings both monthly and yearly in a colored format as follows:

- 100 – 85 Green
- 84 – 70 Yellow
- 69 and below Red

Any supplier falling in the yellow and red categories will be subject to a performance review performed by the PSAM Supply Chain Management Team (Purchasing, Supplier Quality and Materials Management).

Supplier Performance Reports are intended to be a snapshot of a supplier's overall performance within a given month and at year-end. Daily issues, related to quality and/or delivery, can have a negative impact on PSAM's ability to produce deliverables and meet customer requirements. These daily issues may not be adequately reflected in the supplier's performance report, but may also require improvement and recovery planning activities, as outlined above. At the request of the PSAM Supply Chain Management Team (Purchasing, Supplier Quality and Materials Management), the supplier must take immediate action to address such issues in a timely manner using corrective action and continuous improvement methodologies.

## 2.4 Purchasing Policies

**PSAM expectations for suppliers**

1. Supplier will regard all PSAM information as confidential aiming for QCD and CSR
2. CSR includes safety and environmental. Suppliers should strive for ways to save energy, reuse and recycle. Suppliers should focus on continuous improvement activity within their organization.
3. PSAM will require supplier to sign a "confidentiality agreement". All Sub-suppliers used for outsource of tooling, maintenance, manufacturing, secondary process, etc must maintain confidentiality of PSAM documentation. It is the responsibility of the supplier to insure the security of PSAM documents, designs and property entrusted to any third party necessary for the design, develop, manufacture and delivery of PSAM purchased products.
4. PSAM may require annual survey for both financial and performance status, at the discretion of PSAM Supply Chain Management. Failure to comply with the request may result in action up to and including removal from the approved supplier list.

**CODE OF BUSINESS CONDUCT AND ETHICS**

**General:**

PSAM's reputation is built upon its commitment to appropriate business conduct from its associates, suppliers and customers. The commitment to integrity and excellence requires careful observance of both the spirit and the letter of not only all applicable laws and regulations but a scrupulous regard for the highest standards of personal conduct and integrity. The continued success of PSAM is dependent upon our customers' trust and we are dedicated to preserving that trust. All associated with PSAM must act in a way that will merit the continued trust and confidence of both PSAM's customers and the public at large. In general, the use of good judgment, based on high ethical principles, should result in acceptable conduct.

**Compliance with Laws, Rule and Regulations:**

All business by and with PSAM is to be conducted in accordance with the spirit and the letter of all laws, rules and regulations of the cities, states and countries in which PSAM operates.

Compliance with this policy is also the responsibility of every PSAM supplier. Suppliers failing to comply with both the letter and spirit of this requirement may be subject to termination of all existing contracts.

**Conflicts of Interest:**

All business by and with PSAM is to be conducted in a manner that avoids engaging in activities that conflict with, or have the appearance of conflicting with, the best interest of PSAM. PSAM associates have an obligation to conduct PSAM business within guidelines that prevent actual or potential conflicts of interest. Suppliers who enter into "independent" or "outside" business relationships, including, but not limited to employment relationships or commission relationships, with PSAM associates (or a person related by blood or marriage) or who make loans, improper gifts, excessive entertainment, improper personal benefits, special considerations, guarantee debts of, or enter into other inappropriate relationships with PSAM associates (or a person related by blood or marriage) are participating in an activity that is either an actual conflict of interest or creates the appearance of a conflict of interest whether or not that associate is in a position to influence a PSAM business decision.

Compliance with this policy is the responsibility of every PSAM supplier. Suppliers failing to disclose any actual or potential conflicts of interest, or otherwise failing to comply with this policy, may be subject to termination of all existing contracts.

**Corporate Opportunities:**

All business by and with PSAM is to be conducted in a matter that all corporate or business opportunities are to be presented to PSAM for consideration.

Compliance with this policy is also the responsibility of every PSAM supplier. Suppliers failing to comply with both the letter and spirit of this requirement may be subject to termination of all existing contracts.

**Competition and Fair Dealing:**

PSAM seeks to outperform the competition fairly and honestly. Competitive advantages are created through superior performance and execution, never through unethical or illegal practices. The use of stolen or illegally obtained proprietary information or trade secrets from competitors, suppliers, customers or other third parties is prohibited. Similarly, falsification of documentation, including but not limited to testing results or other contract documentation is prohibited.

Compliance with this policy is also the responsibility of every PSAM supplier. Suppliers failing to comply with both the letter and spirit of this requirement may be subject to termination of all existing contracts.

**Waivers or Exceptions:**

Written waivers or exceptions to this policy may be made only by PSAM's President.

**Code of Conduct Guide for Suppliers and Service Providers**

Please read the Prospira America Code of Conduct for Suppliers and Service Providers. (Appendix XVI) Compliance to this code of conduct is mandatory by all PSAM suppliers and service providers. The code of conduct in the appendix supersedes any conduct rules mentioned above.

## 3.1 PPAP Process

All suppliers of production parts, materials and processes are required to submit a PPAP to Prospira America Supplier Quality Group reflecting PSAM print requirements and receive approval prior to beginning mass production shipments. Prospira America PPAP requirements parallel the established automotive standards and requirements contained in the latest publication of the AIAG Product Part Approval Process manual. The APQP documentation sequencing shall adhere to AIAG requirements outlined in the APQP manual. Additional customer-specific requirements may also be required. Each supplier shall prepare a PPAP submission in electronic format as required per the AIAG PPAP manual per Table 4.2 Retention/Submission Requirements which includes IMDS requirements (See appendices XII and XIII). A copy of the Prospira America PPAP Submission Check List is available (Appendix IV) and is highly encouraged to be used as a guide when preparing PPAPs. Please note the specific requirements for welded brackets. Suppliers should prepare a Level 3 submission unless otherwise notified by Prospira Purchasing or Supplier Quality. At a minimum every drawing change will require a PSW, Process Flow, Control Plan and PFMEA to acknowledge the drawing revision and any other submission requirements noted by the PSAM Supplier Quality Engineer or designee.

When a supplier's PPAP package is approved, the signed Part Submission Warrant (PSW) will be returned to the supplier by PSAM Supplier Quality. If the PPAP package is not approved, the supplier will be contacted and it is the supplier's responsibility to promptly make necessary corrections and resubmit. Provisional (Interim) Approval may be given in cases where minor modifications are necessary to complete the PPAP package. Prospira America reserves the right to charge an administrative fee, of the greater of $2,500 or 125% of costs incurred by PSAM, for suppliers not complying with Prospira America's PPAP requirements and timing.

The PSAM 2D drawings in combination with PSAM provided 3D data and PSAM Material Specification Sheets will provide design requirements and be considered the contractual design agreement. Deviations from any PSAM drawing, Material Specification sheet or PPAP requirement must be approved in writing through the PSAM DCP or PCR approval procedures.

## 3.2 Authorization to Ship

Upon receipt of a signed, approved Part Submission Warrant (PSW), approved temporary PCR, or approved deviation, the supplier is authorized to make shipments according to specified Prospira America Purchase Order and Releases. Under no circumstances is a supplier permitted to ship mass production parts without a written approval from Prospira America Supplier Quality.

## 3.3 Prototype/Pre-Production Samples

All prototype and pre-production samples shall be forwarded to the appropriate PSAM Product Development Engineer or Supplier Quality Engineer as designated on the PSAM purchase order. Supplier is expected to supply samples by the provided due date and which meet all design requirements established at the time of sample part request. If there are issues with not meeting defined design requirements, the supplier shall notify PSAM Product Engineering for written approval to ship.

All samples shall be packaged in accordance with established packaging requirements to include labeling, weight, and product layout within the containers. Bar Code labels are preferred and should comply with Appendix V, Label and Bar Code Specification. All prototype/pre-production samples must be identified with a Sample Part Identification Tag (Appendix VI). The color of the tag shall be yellow.

Each shipment of prototype or pre-production samples shall include a copy of the purchase order, a copy of the part drawing, inspection data and material certifications, as applicable.

## 3.4 Critical/Key Part Characteristics and Cpk Requirements

Critical part characteristics may be identified on the PSAM issued drawings using the ☆ symbol or on the purchase orders. Critical part characteristics identified on the drawings must be controlled in the production process using SPC or the part must be 100% gauged for the identified critical characteristic. The PPAP package must include a 30 piece capability study and Gauge R/R studies for critical characteristics. SPC data must be available upon request or on a set frequency dictated by PSAM on the Purchase Order.

Key part characteristics may be identified on the PSAM issued drawings using the ⬭ symbol or on the purchase orders. Key part characteristics shown on the drawings must be monitored through periodic inspection which must be identified on the Control Plan. The PPAP package must include a 30 piece capability study and Gauge R/R studies for key characteristics.

Cpk Requirements will be identified with numbered circle (1) and must show capability of 1.33 Cpk minimum (30 pcs.) with histogram at PPAP and annual revalidation. Failure to meet the 1.33 min capability requirement requires 100% gauging and an improvement plan for process improvement.

## 3.5 Change Control

All changes including but not limited to material, product, process, manufacturing method, and manufacturing location, at all tiers within the supply chain, require immediate notification to PSAM and approval prior to implementation. The Process Change Request (PCR) Form (Appendix VII) shall be used as the means for requesting a change and will be the only accepted method of supplier notification and PSAM approval. Process Change Requests must be submitted to the PSAM Supplier Quality Department. The PCR form will outline PPAP and part validation requirements and must be approved by PSAM before the supplier can proceed with any changes. All changes shall be clearly documented and records retained to include verification of change effectiveness.

In the case of PSAM drawing revisions, PSAM Purchasing will forward the latest drawing revision to the supplier. The supplier is expected to acknowledge receipt of the revised drawing and if for any reason they are unable to comply immediately with the change, they are to notify PSAM Purchasing with the reason, and a recovery plan as to when the change can be implemented. Upon PPAP approval, subsequent releases will reflect the new revision level.

Note: Shipment of new design production parts shall not be made until PPAP samples and documentation have been submitted and approved or an approved deviation has been issued.

## 3.6 Initial Production Parts (IPP) Procedure

Supplier shall implement the following items in order to facilitate the smooth control of initial parts deliveries during the mass production stage. The Initial Production Part Notification (Appendix VIII) shall be used when sending in design change parts, non-conformance countermeasure parts and process change parts (i.e. tool changes, jig changes, process method changes, and production location change.) Supplier shall submit the Initial Production Parts Notification (Appendix VIII) by attaching an IPP notification tag on each container of the affected material in the first shipment containing IPP parts. The color of the tag shall be yellow. Notification of change point shipment must also be communicated to the PSAM Quality Department whenever delivering initial parts that fall within the scope indicated above.

## 3.7 Control of Sub-Suppliers:

Supplier cannot sub-contract purchase order requirements to sub-suppliers without PSAM approval documented through the Initial Launch and/or Process Change Request form.

Documentation of country of origin and assurance of conformance to all regulatory and/or compliance requirements in the area of manufacture, contract and use are the responsibility of the supplier of record.

Suppliers to PSAM are encouraged to utilize sub-suppliers who are certified to ISO 9001 (latest version) through a recognized and accredited 3rd party certification body. At a minimum, sub-suppliers, throughout the supply chain, shall be compliant to the ISO 9001 Quality Management Systems standards. Suppliers and sub-suppliers shall have systems in place for selecting, monitoring and evaluating their sub-tiered suppliers to ensure compliance and continuity throughout the supply chain. It is the Supplier's responsibility to ensure sub-suppliers are capable of meeting PSAM's quality objectives and delivery expectations.

PSAM reserves the right to audit sub-suppliers' facilities on an as-needed basis, with advanced notice, in writing, to the supplier of record.

The supplier of record will be quality responsible to PSAM.

**3.8 Certificate of Analysis Requirements:** PSAM requires a Certificate of Analysis (i.e.: mill cert, chemical analysis, IMDS report, mechanical properties testing, etc) for all direct material shipped to PSAM facilities and outside processors, and upon the request of PSAM Supplier Quality. The certifications are expected to be forwarded electronically to the requesting engineer. Certificate of analysis must include PSAM part number and supplier lot number to maintain lot traceability.

## 3.9 Certificate of Conformance Requirements:

Suppliers who are selected for Dock to Stock should refer to section 3.10 for product verification and validation requirements. All others please note bulleted requirements below.

- All suppliers to PSAM will submit chemical and/or dimensional certifications when required by the PSAM Operating Standard.
- All bulk chemical material suppliers to PSAM will submit a certificate of analysis, showing compliance to PSAM'S specification.
- All component suppliers to PSAM will submit a dimensional certificate of conformance showing compliance to PSAM'S specification.
- Appropriate data shall be maintained and supplied by the supplier as proof of conformance.
- PSAM Supplier Quality Engineers will provide dimensional certification requirements during the product launch process or at the time a requirement changes.
- Both variable and attribute data is acceptable as well as results from dedicated functional gauges. Functional gauges must be approved by PSAM, proven statistically acceptable and remain calibrated. Gauge drawings must be provided to PSAM Supplier Quality Engineer for review and approval at the time of launch. Calibration records showing continued maintenance of the gauge are required as part of a part's annual revalidation. Certification format and sampling plan will be at the discretion of the supplier but with a minimum requirement of a sample size of 5 pieces. All certs shall contain the following information:
    - Part number
    - Part revision level
    - Lot number (to include full traceability of subcomponent parts or processes)

- Date
- PSAM governing specification (if applicable)
- Inspection results.

## 3.10 Dock to Stock

PSAM believes that the supplier is solely responsible for the Quality of the product when it is received at PSAM. If a supplier has demonstrated conforming performance in quality and delivery they may be chosen at the discretion of PSAM to participate in the Dock to Stock Program, as outlined in the PSAM DTS procedure. The supplier will receive notification from PSAM Supplier Quality upon selection for this program. If selected for the DTS Program, suppliers can discontinue the submission of dimensional certifications with every shipment. Suppliers will be required to maintain dimensional and applicable physical test records, at the supplier's site and must be provided upon PSAM Supplier Quality's request.

Suppliers are required to automatically submit quarterly verifications data for each part number on the DTS List. This is to verify DTS status and have these results readily available to PSAM Supplier Quality Department. These quarterly verifications are to be completed per the requirements provided by PSAM Supplier Quality as described in section 3.9 of this SQAM.

## 3.11 Annual Part Re-Validation

All PSAM component suppliers will be required to perform and submit annual dimensional layouts and mechanical testing if applicable for all components produced for PSAM. An Annual Re-validation Plan must be submitted to the appropriate Supplier Quality Engineer annually in January. In the event the supplier has been requested to submit a PPAP to an updated revision within the last six months this requirement may be voided or waived at the discretion of PSAM Supply Quality. Annual Dimensional Layouts will be due no later than twelve months following the most current PPAP Approval or last annual layout submission. (E.g. If PPAP/Annual Layout approval is in September 2021 – Annual Layout due in September 2022 and each subsequent year thereafter in September.)

Annual Revalidation Requires
1. Full dimensional layout (minimum 6 pieces) Sample shall include minimum 1 piece from each cavity.
2. Mechanical Testing per the PSAM drawing
3. Current material and/or Mill cert. (Must not be more than 90 days old at time of submission)
4. Capability analysis for all key, critical or "CPK Required at PPAP" dimensions indicated on the PSAM drawing.
5. PSW showing level 4 submission for "Annual Revalidation".

Failure to complete the requirements of this section will result in an administrative fee of $2,500.00 per part number issued to the supplier, in addition to the cost incurred to by PSAM to complete the required analysis.

## 3.12 CQI Requirements

All suppliers that provide product to PSAM that requires special processing, such as Heat Treated, Plated, Coated, Cast, Plastic and Rubber Molded parts, shall be prepared to provide annual updates to PSAM

showing compliance to applicable AIAG CQI requirements. These annual updates shall be provided to PSAM during the first three month period of each calendar year, and upon PSAM Supplier Quality's request.

These guidelines may be obtained on the AIAG website at www.aiag.org.

| 4.0 Nonconforming Product and Corrective / Preventive Actions | Rev A | 01/02/202: |
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## 4.1 Non-conforming Product and Corrective Action Requests

In the event that non-conforming product is received or discovered at PSAM, PSAM will notify the supplier via a phone call or email and a Quality Alert or Supplier Corrective Action Request (SCAR) may be issued. The supplier shall submit corrective action within the prescribed time limit using the 8-D or 5-Why format as requested.

The supplier shall facilitate any sorting, rework, or return needed to ensure containment of the non-conformance and prevent it from entering PSAM's production stream. This includes, but is not limited to; components, sub-assemblies, finished product at PSAM, and finished product at PSAM's customer. The supplier may be requested to provide their own management personnel, for supervision, in the event that a temporary employment agency or contracted sorting company is used. Any certified material sent to PSAM must be identified with the Green Certification Tag (Appendix XI).

Upon notification, the supplier must contact PSAM Supplier Quality immediately to confirm sort and containment needs. PSAM reserves the right to establish sort or rework operations using a 3rd party sorting company on behalf of the supplier without prior notification in the case that immediate containment is needed. The supplier will be debited for all cost associated with this activity. If the supplier has repeated occurrences of non-containment the supplier may be removed from the ASL.

The PSAM Quality Department will contact the supplier requesting Return Authorization for any defective materials found during the sort. Response must be provided within 48 hours, or material will be dispositioned by PSAM at the expense of the supplier.

Administration fees may be assessed in addition to the cost incurred by PSAM in addressing the nonconformance – per occurrence, depending on the severity and the extent of the situation as follows:

Level 1: $1,000.00 = Standard Fee (Level 1 Supplier Alert issued)

Level 2: $1,500.00 = Supplier Quality Alert Issued (Level 2 Supplier Alert issued)

Level 3: $2,000.00 = Supplier SCAR Issued (Level 3 Supplier Alert issued)

Level 4: $2,500.00 = PSAM Customer complaint /claim with SCAR issued (Level 3 Supplier Alert issued)

## 4.2 Escalation Process Steps

The following section describes the steps Prospira America may take should defective product continue to be received from a supplier.

- **Step One: Issuance of Supplier Quality Alert or CAR**
  Nonconforming product is discovered at PSAM and an initial corrective action request is issued to the supplier. Sort activities and certified shipments may be requested. Failure to respond to a CAR in a timely manner may result in additional administration fees.

- **Step Two: Level One Containment**
  Supplier is required to implement 100% off line inspection. PSAM Supplier Quality will initiate Level One activities by emailing a Level One Containment notification to the Supplier's Management Team. The notification will specify the non-compliance, required actions and exit criteria. The supplier shall confirm containment activity in writing, providing this reply to the PSAM initiating SQE and PSAM Purchasing within 24 hours of initial notification. The supplier will assume all cost for Level 1 containment.

  Sorting requirements may dictate locating the sort off site at a location to be determined by the Supplier Quality Engineer or designee. The supplier will assume all cost associated with the transportation and logistics of off-site sort.

- **Step Three: Level Two Containment**
  Prospira America considers Level Two containment a serious breach in of the supplier's quality management system. Level Two containment may be imposed to mitigate the risk of receipt of further non-conforming material. Supplier contracts 100% third party certification (Level Two Containment) in addition to Level One Containment activities. PSAM will initiate Level 2 activities by phone call and follow-up by emailing a Level 2 notification to the Supplier's President or Senior Official. The notification will specify the non-compliance, required actions and exit criteria. The supplier shall confirm containment activity in writing, providing this reply to the PSAM initiating SQE and PSAM Purchasing within 24 hours of initial notification. The supplier will assume all cost for Level 2 Containment.

  Sorting requirements may dictate locating the sort off site at a location to be determined by the Supplier Quality Engineer or designee. The supplier will assume all cost associated with the transportation and logistics of off-site sort.

- **Step Four: Supplier Performance Review**
  Based upon performance history or severity of issues, Prospira America Purchasing or Supplier Quality may schedule a Supplier Performance Review with the supplier, either on-site, at the supplier) or at PSAM. The supplier will be required to provide an Action Plan with a timeline for resolution. Subsequent meetings may be scheduled to verify compliance to the Action Plan and sustained corrective action resolution.

- **Step Five: Senior Management Review**
  Based upon performance history of chronic systemic problems, repeat problems or severity of issues, a Prospira America Supplier Quality Engineer, BAPM Designee or Purchasing Manager may schedule a Senior Management Review meeting between Prospira America Senior Management and The Supplier's Senior Management. Supplier will be required to provide an updated action plan, including a timeline for resolution along with a detailed explanation of why the issue has not previously been addressed. Subsequent meetings may be scheduled as necessary to verify compliance to the action plan and sustained corrective action resolution.

- **Step Six: Onsite Audit**
  Based upon performance history of chronic systemic problems, repeat problems or severity of issues Prospira America Purchasing and Supplier Quality may schedule an on-site audit at the supplier. The goal of the audit is to confirm both the effective implementation of corrective actions and evidence of systemic improvement. PSAM Supplier Quality performs an on-site review of the supplier's Quality Management System and provides findings to PSAM Senior Management. The supplier is required to address all non-conformances reported using an Action Plan with a timeline for corrective action

implementation. Subsequent meetings may be scheduled to verify compliance to the Action Plan and sustained corrective action resolution.

- **Step Seven: Resourcing**
  If steps one through six in the escalation process is not sufficient to insulate Prospira America from receiving non-conforming material, PSAM Management may elect to resource the job. In the case of a customer "directed buy", a request to resource will be made to the appropriate OEM.

## 4.3 Requests for Deviations:

PSAM expects all material and or parts supplied to meet all documented requirements and design intent. Under no circumstances is nonconforming product to be shipped without prior written approval from PSAM. The supplier is expected to complete a temporary Process Change Request (Appendix VII.) and submit it to PSAM Supply Quality Department. If the Process Change Request is approved, the Process Change Request will be returned back to the supplier with approval signatures. **Under no circumstance will verbal agreements be accepted or acknowledged.**

| 5.0 General Requirements | Rev A | 01/02/2023 |
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## 5.1 Warranty Policy

Supplier expressly warrants that all materials and goods supplied;

(a) shall be of good quality and workmanship and free from defects
(b) shall conform to the drawings, specifications, descriptions and samples furnished or specified by the PSAM Purchasing Agent;
(c) shall be merchantable and fit and safe for consumer use;
(d) If it is a product of the Seller or produced in accordance with Seller's specifications shall be suitable and sufficient for its intended purpose and use. No materials may be substituted in lieu of those specified and approved without documented approval using the Process Change Request form.
(e) Must meet all part requirements for 4 years from date of component production manufacturing date.

## 5.2 Record Retention

The Supplier shall maintain quality system, purchase order records, and process records (4M change) directly related to process change for the life of the program plus 20 years.

## 5.3 Cost Reduction

Cost reduction is an integral component of the long-term relationship and success of PSAM and its suppliers. The supplier must implement and maintain an ongoing self-assessment and continuous improvement program geared toward developing cost reductions. The supplier will collaborate with PSAM in developing VA/VE (Value Analysis/Value Engineered) techniques.

## 5.4 Product Identification / Traceability

- **Bar Codes**

PSAM requires shipments to include bar code labels compliant with details outlined in Appendix V. If Bar Code labels are missing or are not correct, the supplier may be charged a noncompliance fee of $500 per shipment until the time the Bar Code labeling is corrected.

- **Lot Cards**
  PSAM also requires the use of lot control cards. A sample lot card and instructions for use are contained in Appendix IX. It is the responsibility of all suppliers and subcontractors to ensure these cards are attached to each container and that they are filled out completely, accurately and legibly. Outside processors must transfer all lot information from received product to ensure maintained traceability.

- **Samples**
  The Purchasing Agent shall determine and advise the supplier as to whose attention and where to send samples.

**Lot Card Requirements:**

- Size 8.5 x 11 green paper or card stock
- Large writing is a must (3/4" min) using a large tip black marker
- Must be complete, accurate and legible
- Form number must be visible at bottom of page

## 5.5 Product Handling and Packaging

- **Packaging and Labeling Specifications**
  Suppliers are responsible for obtaining approval from PSAM Purchasing Department for the design of packaging of their product. Proposed packaging specifications shall be submitted using the Packaging Proposal Form. (Appendix XIV).

- **First In / First Out**
  The supplier shall apply First In/First Out inventory management principles. A lot consists of product of one part number and revision that are made at the same time, under the same processing conditions. The primary purpose for identifying lots is to determine the scope of actions that must be taken when problems arise during further manufacturing or with the end customer. Each container of material shipped to PSAM must be identified with the Supplier's lot number. Inspection records must be traceable to lot numbers. Lot numbers must include traceability of all subcomponent parts through the entire manufacturing process from Receiving to Shipping. Lot numbers for all material must be included on the shipping paperwork (BOL) to ensure retained lot traceability.

- **Age Sensitive Materials**
  Age sensitive materials will arrive with at least 75% of the manufacturer's shelf life remaining on the product. The date of manufacture and the shelf life expiration date shall be marked on the unit package. In cases where shelf life begins once package is opened, the supplier shall mark the unit package with a high-visibility label that identifies the product as age sensitive material. The label shall include a designated area for Prospira to write expiration date. Product that fails to meet age sensitive requirements will be handled as nonconforming material.

Shelf life requirement examples below:

| Expiration | Minimum Shelf Life Remaining |
|---|---|
| 7 days | 5 days |
| 30 days | 22 days |
| 60 days | 45 days |
| 6 months | 4.5 months |

- **Kanban**
  Where applicable, releases shall define kanban requirements.

## 5.6 PSAM and/or PSAM Customer Owned Property

- **Tooling Identification, Protection, Loss, Damage or Modification**
  All tooling used to produce PSAM components, whether owned by PSAM, PSAM's customer or supplier, shall be identified as required by Prospira America which may include, without limitation, PSAM part number, print revision number and asset number. Supplier shall submit a completed "tooling summary" sheet (Appendix XIX) to the responsible PSAM Purchasing Agent, for each tool, at time of tooling validation, or upon request. Supplier shall protect, insure and safeguard said tooling against any and all damage. If same is lost, damaged or otherwise found to be unsuitable as to produce PSAM components in accordance with either the PSAM release requirements or the most current PSAM print revision level, the supplier shall immediately report same to PSAM Purchasing in writing. Supplier shall be responsible for any loss of or damage to said tooling. Unless the release states otherwise, PSAM shall reimburse the supplier for costs necessary to modify tooling as a result of print revision changes. However, in the event modifications are necessary as a result of print revision changes, the supplier still has the obligation to meet all PSAM release requirements, unless same are revised by PSAM in writing.

- **Tooling Maintenance**
  All tooling used to produce PSAM components, whether owned by PSAM, PSAM's customer or the supplier must be maintained, at the supplier's expense, in such condition so as to produce PSAM components in accordance with both the PSA release requirements and the most current PSAM print revision level. Supplier shall provide to PSAM an annual verification as to each tool certifying that it has been maintained in accordance with this requirement and including any verifications, including but not limited to current photographs, upon the request of PSAM. The tool life is agreed upon by the supplier and PSAM Purchasing prior to awarding any new business. This may or may not be the length of the program due to carryovers.

- **Service Component Tooling**
  To cover all service obligations to PSAM and/or PSAM's customer, the supplier will be responsible to maintain all tooling used to produce PSAM components for a period of 20 years after the end of a component's active production unless otherwise directed in writing by PSAM. Prior to any disposal, scrapping or other disposition of tooling used to produce PSAM components, whether owned by PSAM, PSAM's customer or the supplier, supplier shall obtain written authorization from PSAM Purchasing.

- **PSAM Owned Returnable Packaging**
  PSAM may define and include returnable packaging requirements within the contract. Only returnable packaging containers that have been approved by PSAM shall be used. The inventory based on number of "Days in the System" shall be defined by PSAM. The terms of payment will be

negotiated and set forth within the Contract. All returnable packaging containers purchased by PSAM shall be identified as "Property of Prospira America". Inventory levels of returnable packaging containers shall be reported to PSAM's Materials Department, as requested, and shall be reported on PSAM's Returnable Packaging Inventory Form (Appendix XV). Supplier is required to use only reasonably clean packaging and report damaged packaging to PSAM Purchasing for disposition.

## 5.7 Delivery

PSAM requires 100% on-time delivery, based on the due date provided on the PSAM Contract Order Release. Suppliers must establish systems to support 100% on-time delivery to PSAM, including supplier managed US warehousing.

Supplier must notify PSAM Materials contact of any foreseen delivery problem, prior to the products required delivery date. If 100% on-time delivery is not maintained, the Supplier shall implement corrective actions to improve delivery performance. Supplier is responsible for all expedited freight in order to maintain or recover delivery dates and resolve past-due conditions.

If supplier fails to deliver a shipment, PSAM may penalize the supplier the greater of (a) $2,500.00 for each 24-hour period that a shipment is late, or early; or (b) 125% of the actual damages incurred by Prospira America as a result of such failure. Overages will be returned to the Supplier at the supplier's expense. Title shall pass to Prospira America only upon delivery of product to final destination and acceptance by Prospira America. The foregoing not withstanding, any specific penalty clauses outlined on the face of the order supersedes any penalty specified in this Delivery clause.

All shipments from suppliers must include a packing slip that lists the part number, quantity, traceable manufacturer's lot number and PSAM Contract Order or Blanket Order number. Supplier can expect trucking companies to be defined and will be required to use those as defined. Deviation from defined shipping method requires written authorization from PSAM Materials Department.

## 5.8 Releases

Each order and release requirement will be transmitted by hand, mail, courier, or transmitted electronically to supplier, in accordance with Electronic Data Interchange (EDI) standards and procedures, or such other standards and procedures for electronic communication as may be set forth by Prospira from time to time during the term of this agreement. Supplier shall, upon receipt, immediately acknowledge receiving such order and/or release requirement to Prospira via electronic message. An order and/or release requirement will be deemed to have been accepted by supplier upon the first to occur of the following: a.) supplier's first shipment or other tender of performance under the order or release requirement; b.) written acceptance by supplier; c.) acceptance by supplier via an electronic transmission sent in accordance with EDI or other electronic communication standards and procedures as specified by Prospira; or d.) supplier's failure to deliver written objection to Prospira's order within eight (8) days of supplier's receipt thereof (or such shorter period as may be specified in the order).

## 5.9 Obsolescence

PSAM Purchasing and/or Materials Department will notify the supplier of upcoming obsolescence using the PSAM Build Out Notification (Appendix XVII). Supplier will have 30 days from date of notification to submit claim for obsolescence to the PSAM Materials and Purchasing Departments. The claim shall outline costs of parts, components, tooling, etc. Prospira America shall define disposal method.

PSAM will not be responsible for the following obsolete inventory:

- PSAM will not reimburse suppliers for planned obsolescence (safety stock)
- PSAM will not reimburse suppliers for expenses to replace defective parts rejected by PSAM
- PSAM will not be responsible for supplier mis-managed inventory
- PSAM will not be responsible for material authorizations from previous material releases from other PSAM facilities.

PSAM requires the final inventories and justifications to be submitted to PSAM Purchasing and Materials Departments no later than (1) week after the final buildout. Failure to submit in this timeframe will be construed to mean that the supplier had no balance-out inventories requiring adjustment. Final inventories and justifications will be submitted to PSAM customers, and the issue will be "closed".

## 5.10 Restricted Material

All material shall satisfy current governmental and safety constraints or restricted, toxic and hazardous materials; as well as environmental, electrical and electromagnetic considerations applicable to the country of manufacture and sale. In addition, Supplier shall not intentionally provide any product that would contain any declarable substance on the GADSL (www.gadsl.org) without the specific consent of Prospira America. Suppliers are required to provide IMDS submissions for all products per the IMDS Supplier Input Manual (Appendix XII).

PARAFFINIC MATERIALS are detrimental to the basic bonding process. Suppliers are restricted from using paraffinic and especially chlorinated paraffinic lubricants which are difficult to remove from the metal using an alkaline cleaning process. Refer to PS 140 (Appendix XX) Residual Metal Part Forming Lubricant Guidelines, for lubricant restrictions, recommendations and disclosure documentation.

## 5.11 Proprietary Rights

Supplier understands and agrees that the benefits of Prospira America's designs and manufacturing information shall not be extended beyond the scope and subject matter of the Contract; it specifically agrees that such designs and information are maintained by Prospira America as confidential.

## 5.12 Launch Participation

All suppliers of new (launch) parts will be required to submit a detailed launch plan in a format consistent with PSAM requirements to the Program Manager and Purchasing, providing updates to PSAM on a weekly basis. Launch meetings with suppliers will be scheduled as needed. Failure of the supplier to meet launch targets will require corrective action and a documented plan to recover the timeline. Any delays impacting PSAM's ability to meet Customer event timing will result in the supplier's financial responsibility for all resulting costs incurred by PSAM.

| 6.0 Appendix | Rev A | 01/02/2023 |
|---|---|---|

| | |
|---|---|
| I. | PSAM Supplier Information Report |
| II. | Supplier Assessment |
| III. | Supplier Performance Report |
| IV. | PPAP Submission Check List |

| | |
|---|---|
| V. | Bar Code Label Specification |
| VI. | Sample Part ID Tag |
| VII. | Process Change Request Form |
| VIII. | Initial Production Part Notification |
| IX. | PSAM Lot Card |
| X. | SQAM Acknowledgement |
| XI. | Green Certification Tag |
| XII. | IMDS Supplier Manual |
| XIII. | IMDS Acknowledgement |
| XIV. | Packaging Proposal Form |
| XV. | Returnable Packaging Inventory Form |
| XVI. | PSAM Supplier Code of Conduct |
| XVII. | Build Out Notification |
| XVIII. | KPI Check Sheet |
| XIX. | Tooling Summary |
| XX. | Lubricant Guidelines and Disclosure |

PROSPIRA

## SUPPLIER CONTACT INFORMATION REPORT

SUPPLIER: _____ FORM COMPLETED BY: _____

PLANT ADDRESS: _____ DATE COMPLETED: _____
(SHIP FROM)

_____

MAIN PHONE NUMBER: _____

FAX NUMBER: _____

WEBSITE (IF APPLICABLE): _____ CONTRACT NO: _____

| KEY PERSONNEL CONTACT INFORMATION | | | | |
|---|---|---|---|---|
| **TITLE** | **NAME** | **PHONE NUMBER** | **EXT** | **E-MAIL ADDRESS** |
| PRESIDENT | | | | |
| PLANT MANAGER | | | | |
| PRODUCTION (MFG.) MGR | | | | |
| MATERIALS MANAGER | | | | |
| QUALITY MANAGER | | | | |
| ACCOUNTING MANAGER | | | | |
| SHIPPING/REC SUPVR - 1ST | | | | |
| SHIPPING/REC SUPVR - 2ND | | | | |
| SHIPPING/REC SUPVR - 3RD | | | | |
| MFG SUPERVISOR - 1ST | | | | |
| MFG SUPERVISOR - 2ND | | | | |
| MFG SUPERVISOR - 3RD | | | | |
| EMERGENCY CONTACT INDIVIDUALS TO CONTACT WHEN IN-PLANT PERSONNEL CANNOT BE REACHED INDICATE HOME NUMBER. | | | | |
| CUSTOMER CONTACT PERSON TO CONTACT ON A DAY TO DAY BASIS RE: MATERIAL AVAILABILITY, SHIPPING STATUS, AND SCHEDULING. | | | | |
| SALES REPRESENTATIVE | | | | |

Appendix F

PROSPIRA

# SUPPLIER ASSESSMENT

DATE OF AUDIT: _____

RISK : ☐ RED ☐ YELLOW ☐ GREEN

| | | | |
|---|---|---|---|
| **SUPPLIER NAME:** | | | |
| **ADDRESS:** | | | |
| **PHONE:** | | **FAX:** | |

**TYPE OF AUDIT:**

☐ PSAM PRE-SOURCE ☐ SUPPLIER SELF-ASSESSMENT ☐ OTHER:

| Date of Last Assessment: | Risk Rating: | Score: |
|---|---|---|

| **TOTAL ANNUAL SALES $** | **AUTOMOTIVE ANNUAL SALES $** | Minority Owned (N.A. Only) ☐ YES ☐ NO | Certificate Obtained? ☐ YES ☐ NO |
|---|---|---|---|
| | | Export Credit (EU Only) ☐ YES ☐ NO | Certificate Obtained? ☐ YES ☐ NO |

| IATF-16949 Certification | ISO 9001 Certification | ISO 14001 Certification | IMDS Capability | Primary products or services provided: |
|---|---|---|---|---|
| ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | ☐ YES ☐ NO | Primary customer base |

| | | | | | |
|---|---|---|---|---|---|
| General Manager | | Phone: | | Union Affiliation: | |
| After Hours Contact: | | Phone: | | Contract Exp Date: | |
| Plant Size (Sqft / Meter): | | Capacity Utilized: | | # of Employees: | |

| | | | |
|---|---|---|---|
| Person(s) Conducting Assessment: | | Supplier Representative: | |

| **TOTAL SCORE:** | **0** | **Out of 172** |
|---|---|---|
| **CORRECTIVE ACTIONS REQUIRED?** | ☐ YES ☐ NO | |

| **PERCENT:** | **0.0%** |
|---|---|
| **FOLLOW UP DATE:** | |

**SIGNATURES:**

_____ DATE

SUPPLIER REPRESENTATIVE _____ DATE

**SCORE RESULTS**

| ITEM | SECTION | POSSIBLE | ACTUAL | PERCENTAGE |
|---|---|---|---|---|
| 1 | QUALITY MANAGEMENT SYSTEM | 16 | 0 | 0.0% |
| 2 | MANAGEMENT RESPONSIBILITY | 6 | 0 | 0.0% |
| 3 | RESOURCE MANAGEMENT | 16 | 0 | 0.0% |
| 4 | PRODUCT REALIZATION | 74 | 0 | 0.0% |
| 5 | MEASUREMENT, ANALYSIS & IMPROVEMENT | 44 | 0 | 0.0% |
| 6 | ENVIRONMENTAL | 16 | 0 | 0.0% |

| SCORING GUIDELINES: | 90% TO 100% | 75% TO 89% | 75% OR LESS |
|---|---|---|---|

PROSPIRA

DATE OF AUDIT: _____

# SUPPLIER ASSESSMENT

RISK : ☐ RED ☐ YELLOW ☐ GREEN

| SUPPLIER NAME: | |
|---|---|

SCORING: 0 = NO SYSTEM IMPLEMENTED 1 = PARTIALLY IMPLEMENTED 2 = FULLY IMPLEMENTED SYSTEM

| SECTION | | ITEM | SECTION SCORE (Self-Assessment) |
|---|---|---|---|
| 1 | | **QUALITY MANAGEMENT SYSTEM** — **16 pts possible** | 0 |
| | 1 | Is there an implemented Quality System in place? | |
| | 2 | Is there a Quality Manual and procedures which meet the requirements of automotive quality standards? | |
| | 3 | Is there a documented system for the control of documentation and data used in the process? | |
| | 4 | Are new and revised documents reviewed and approved prior to release to the manufacturing process? | |
| | 5 | Are all documents affecting quality and processes reviewed and approved prior to use? | |
| | 6 | Is there a documented system for the control and storage of quality records? | |
| | 7 | Are all quality records legible and readily available? | |
| | 8 | Is there evidence of record retention that satisfies regulatory and customer requirements? | |
| 2 | | **MANAGEMENT RESPONSIBILITY** — **6 pts possible** | 0 |
| | 1 | Is the quality policy communicated and understood throughout the organization? | |
| | 2 | Are there measureable quality objectives identified (including KPI for scrap ratio, process changes, productivity and ect.) that are consistent with the quality policy? | |
| | 3 | Is there evidence of Management Review occurring at planned intervals? | |
| 3 | | **RESOURCE MANAGEMENT** — **16 pts possible** | 0 |
| | 1 | Is there a documented training program? | |
| | 2 | Is there a master record of training activity for all personnel? | |
| | 3 | Is training effectiveness periodically evaluated? | |
| | 4 | Is there a documented system in place for tooling management covering new tooling, repairs, and storage? | |
| | 5 | Is there a documented Preventative Maintenance system in place? | |
| | 6 | Is there a documented system for component banking when applicable? | |
| | 7 | Is there a contingency plan for catastrophic events that could effect plant operations or shipments? | |
| | 8 | Is the production environment clean and orderly? | |
| 4 | | **PRODUCT REALIZATION** — **74 pts possible** | 0 |
| | | **Planning** — **10 pts possible** | 0 |
| | 1 | Does the quality planning process include identification of resources and preparation of Control Plans based on PFMEA input and review of all standards and specifications? | |
| | 2 | Are cross-functional teams used during the Advance Quality Planning process? | |
| | 3 | Is there a documented system for launch containment? | |
| | 4 | Are feasibility reviews, including capacity planning and utilization studies, conducted to confirm that the design is capable with the intended manufacturing process? | |
| | 5 | Do all aspects of the PFMEA, control plan and actual processes agree? Are they keyed to process flow? | |
| | | **Customer Related Processes** — **10 pts possible** | 0 |
| | 6 | Is there a documented system for review of all contracts? | |
| | 7 | Is there evidence of document change(s) made, based on contract change requirements? | |
| | 8 | Are records of contract review maintained? | |
| | 9 | Is there evidence of change point control including 4M changes such as tooling changes, maintenance, and facilities, etc? | |
| | 10 | Are records of change points maintained? | |

PROSPIRA

DATE OF AUDIT: _____

# SUPPLIER ASSESSMENT

RISK : ☐ RED ☐ YELLOW ☐ GREEN

SUPPLIER NAME:

| 4 con't | | | | | | |
|---|---|---|---|---|---|---|
| **Design and Development** | Design Responsible? | Yes | No | **0 pts possible** | 0 |
| 11 | Is there a system for determining the stages of product design and development including review, verification and validation and specified responsibilities and authorities? If not design responsible: is there a system for planning and controlling the supplier responsible activities related to design review, verification and validation? | | | | |
| 12 | Are planning documents updated as the design and development progresses? | | | | |
| 13 | Are reviews accomplished and documented for compatibility of design to the manufacturing process? | | | | |
| 14 | Is there a system for determining and recording the design inputs relating to the product requirements including functional, performance, statutory and regulatory requirements? If not design responsible: is there a system for understanding and meeting the supplier responsible product requirement? | | | | |
| 15 | Are design and development outputs verified against the inputs and approved prior to design release? | | | | |
| 16 | Is there a system for completing design and development validation before product delivery? | | | | |
| **Purchasing** | | | | **8 pts possible** | 0 |
| 17 | Is there a documented system for purchasing activities? | | | | |
| 18 | Are sub-contractors selected and evaluated based on meeting approved quality requirements? | | | | |
| 19 | Is there a system to monitor subcontractor delivery performance? | | | | |
| 20 | Are there quality records of acceptable subcontractors established and maintained (i.e. PPAP)? | | | | |
| **Production** | | | | **40 pts possible** | 0 |
| 21 | Is there a documented system for control of customer supplied product? | | | | |
| 22 | Is customer supplied product examined for condition and quality upon receipt? | | | | |
| 23 | Are there provision for customer notification of damage, lost or unusable customer supplied product(s)? | | | | |
| 24 | Is product identification traceable throughout the entire manufacturing process (From receiving to shipping)? | | | | |
| 25 | Is there a documented system for process control? (i.e. work instruction, boundary samples, setup sheets) | | | | |
| 26 | Are work / operator instructions posted at the manufacturing processes? | | | | |
| 27 | Do Process Control Plans include Critical Characteristics, inspection methods, frequency and reaction? | | | | |
| 28 | Is there a "first piece" sign-off system being used? | | | | |
| 29 | Is there a documented system for determination of the inspection and test status? | | | | |
| 30 | Are there records to support past inspection and tests? | | | | |
| 31 | Are the handling and storage methods appropriate to prevent material damage and deterioration? | | | | |
| 32 | Is there a documented system for the control of packaging, marking, traceability and delivery? | | | | |
| 33 | Are shipping labels used with bar codes to customer specifications? | | | | |
| 34 | Is a computerized MRP system being used? | | | | |
| 35 | Is there use of an electronic data interface system (EDI) / customer internet system? | | | | |
| 36 | Is there a documented system for the use of just-in-time (JIT)? | | | | |
| 37 | Is there an inventory management system in place to control material stock turns and rotations (FIFO)? | | | | |
| 38 | Is there a documented system that meets the requirements of the AIAG PPAP Manual? | | | | |
| 39 | Is error proofing / poka-yoke used in the manufacturing process? | | | | |
| 40 | Are there procedures in place to prevent error proofing from being bypassed? | | | | |
| **Control of Monitoring and Measuring Devices** | | | | **10 pts possible** | 0 |
| 41 | Is there a documented system for gauge & tool calibration? | | | | |
| 42 | Is calibration status clearly identified for all gauges? | | | | |
| 43 | Is there a documented system for gauge bias (i.e., R&R) studies? | | | | |
| 44 | Is there a system for customer notification if suspect material has been shipped? | | | | |
| 45 | Do all gauge studies have Gage R&R studies <30%, or equivalent? | | | | |

PROSPIRA

# SUPPLIER ASSESSMENT

DATE OF AUDIT: _____

RISK : ☐ RED ☐ YELLOW ☐ GREEN

SUPPLIER NAME:

| | | | |
|---|---|---|---|
| 5 | **MEASUREMENT, ANALYSIS & IMPROVEMENT** | **44 pts possible** | 0 |
| | 1 | Are incoming parts, material and purchased services verified prior to release into process? | |
| | 2 | Are layout inspection and functional testing documented and conducted per the control plans? | |
| | 3 | Is there equipment available for proper testing required? (i.e. hardness, tensile strength, weld penetration) | |
| | 4 | Is final inspection and testing documented and maintained? | |
| | 5 | Is there a documented system for an internal quality audit program? | |
| | 6 | Does the internal quality program extend to all areas of the company? | |
| | 7 | Is there a documented system for containment, disposition and disciplined problem solving techniques for non-conforming material? | |
| | 8 | Are there documented systems for rework / repair of non-conforming material? | |
| | 9 | Is there a system in place to assure customer approval for all non-conforming products prior to shipment? | |
| | 10 | Is there a documented system for the use of SPC in the manufacturing process (i.e. KPC, SC, CC) | |
| | 11 | Are statistical capability results used to improve the manufacturing process? | |
| | 12 | Are SPC training records available for all associates involved in the manufacturing and quality process? | |
| | 13 | Is the supplier meeting PPK >1.67, CPK >1.33 for critical " ☆ characteristics | |
| | 14 | Are special causes of variation investigated, corrected and documented? | |
| | 15 | Is there a documented system for continuous improvement and a commitment to zero defects? | |
| | 16 | Have all findings from the most recent registration or surveillance audit been closed? | |
| | 17 | Is there a system for management review of process improvements based on noted non-conformances? | |
| | 18 | Is there a documented internal and external corrective action system in place? | |
| | 19 | Are disciplined problem solving techniques used in root cause analysis? | |
| | 20 | Are documented corrective actions used to develop preventative actions? | |
| | 21 | Is there a system for timely responses to corrective action requests? | |
| | 22 | Is there a documented system for a continuous improvement program? | |
| 6 | **ENVIRONMENTAL (ISO 14001)** | **16 pts possible** | 0 |
| | 1 | Is there an environmental management system in place? | |
| | 2 | Is there an environmental policy? | |
| | 3 | Have environmental objectives and targets been set and is performance to goals tracked and reviewed? | |
| | 4 | Is there a program in place to check if all environmental laws or standards are being met? | |
| | 5 | Is there any open governmental notices regarding non-compliance with environmental laws or standards? | |
| | 6 | Has all applicable environmental and hazardous materials training requirements been met? | |
| | 7 | Is there a documented system for international material data specifications (IMDS) reporting? | |
| | 8 | Are MSDS sheets posted in accordance with regulations? | |

## PSAM Management Review/Approval

_____ Purchasing Manager

_____ Material Manager

_____ Manager of Supplier Quality

**PROSPIRA AMERICA CORP.**
**Upper Sandusky, Ohio**

**PROSPIRA CORPORATION**
12F. Yaesu Center Bldg. 6-6 Yesu 1 Chome
Tokyo, Japan 244-8510

Report Period: July 2022
Issue Date: 9/2/22

**Rating System = 100 Points Possible**

| PPM = 15 pts | Concerns = 35 pts | Delivery = 50 pts |
|---|---|---|
| 0 = 15 | Ea. Scar = 15 pts | Delivery % x 50 |
| 1-500 = 10 | Ea. Alert = 5 pts | (Delivery % = Pcs |
| >500-1000 = 5 | | Received on-time / Pcs |
| >1000 = 0 | | Orders x 100) |

**Current Month**

PERFORMANCE SCORE 100.00
100 POINTS POSSIBLE

PPM 0
GOAL = 0

CONCERNS ISSUED
Scars 0
Alerts 0
GOAL = 0

DELIVERY PERFORMANCE
Received 100%
-------- x
100
Ordered
GOAL = 100%

**Year To Date**

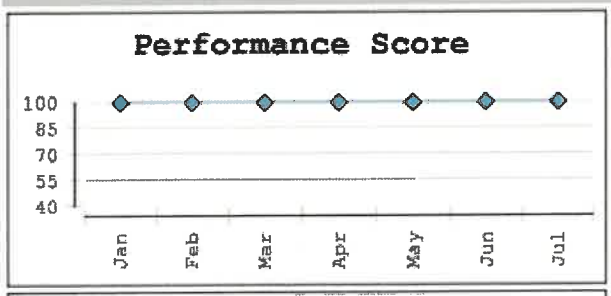
PERFORMAN SCORE 100.00
100 POINTS POSSIBLE

PPM 0
GOAL = 0

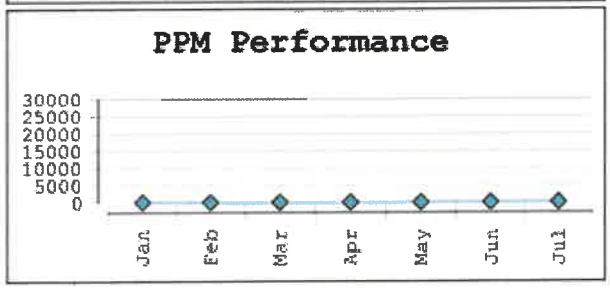
CONCERNS ISSUED
Scars 0
Alerts 0
GOAL = 0

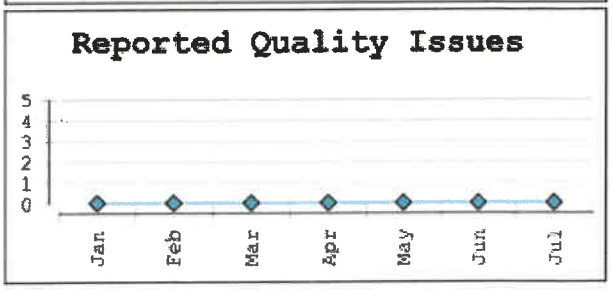
DELIVERY PERFORMANCE
Received 100%
-------- x
100
Ordered
GOAL = 100%

**Performance Trends**








Appendix III

PROSPIRA

# SUPPLIER PPAP CHECK LIST

| PART NUMBER: | ENG. CHANGE LVL: | ECL DATE: |
|---|---|---|
| PART NAME: | SUPPLIER: | |

| | YES PASS | NO FAIL | N/A |
|---|---|---|---|
| **Design Record** | | | |
| Most current controlled print | | | |
| Print inspection items ballooned | | | |
| **Authorized Eng Change documents** | | | |
| PSAM approval for part changes not on the print | | | |
| **Process Flow Diagram** | | | |
| Identified to the PFMEA and Control Plan | | | |
| Complete with all actions clearly identified | | | |
| **Process FMEA** | | | |
| Correct part number and revision level | | | |
| Linked to processes stated on process flow | | | |
| Recommended actions completed | | | |
| All critical and special characteristics identified | | | |
| **Control Plan** | | | |
| Correct part number and revision level | | | |
| Linked to processes stated on process flow | | | |
| All critical and special characteristics identified | | | |
| Response actions noted and appropriate | | | |
| **Measurement System Analysis Studies** | | | |
| Measurement correlation supplier vs. PSAM | | | |
| Gauge drawings reviewed and approved by PSAM | | | |
| Gauge Instructions submitted by supplier | | | |
| Gage R&R for each gage on the Control Plan | | | |
| Acceptable Gage R&R score ( < 30% RR ) | | | |
| **Dimensional Results** | | | |
| Correct part number and revision level | | | |
| _____ samples inspected | | | |
| All items on drawing reported | | | |
| Inspection disposition marked (pass / fail) | | | |
| Inspection results all pass | | | |
| Inspector name / date signed | | | |
| **Material / Performance Test Results** | | | |
| Material cert included | | | |
| All performance tests listed on drawing complete | | | |
| Specs listed for test results | | | |
| Inspection disposition marked (pass / fail) | | | |
| Lab results from an accredited Lab | | | |
| Copy of accreditation enclosed | | | |
| **Initial Process Studies** | | | |
| Control charts included in PPAP package | | | |
| Capability requirements (>1.33 Cpk / >1.67 Ppk) | | | |
| **3rd Party Certifications** | | | |
| Copy of ISO or IATF certification included | | | |
| Copy of Environmental certification included | | | |

| | YES PASS | NO FAIL | N/A |
|---|---|---|---|
| **Part Submission Warrant (PSW)** | | | |
| Correct Part Name | | | |
| Correct Part Number | | | |
| Correct Engineering Change Level | | | |
| Correct Engineering Change Date | | | |
| Additional Engineering Changes | | | |
| Additional Engineering Change Date | | | |
| Safety And / Or Government Regulations | | | |
| Purchase Order Number | | | |
| Weight in (Kg) to Four Decimal Place | | | |
| Checking Aid Number, Change Level And Date | | | |
| Organization Name & Supplier / Vendor Code | | | |
| IMDS Submitted | | | |
| Polymetric Parts Identification | | | |
| Appropriate "Reason For Submission" Checked | | | |
| Appropriate "Submission Level" Checked | | | |
| Applicable Test Results Meet Design Requirements | | | |
| Molds / Cavities / Production Processes | | | |
| Rate Of Significant Production Run Noted | | | |
| Customer Tooling Tagged And Numbered | | | |
| PSW Signed / Dated | | | |
| | | | |
| | | | |
| | | | |

**COMMENTS:**

**REVIEWED BY:**

**DATE:**

Appendix IV

| NO. | ITEM | FORMAT | CHARACTERS (FIXED LENGTH) | REMARK | BAR CODE REQUIRED |
|---|---|---|---|---|---|
| 1 | Blank | ## | 2 | 2 Spaces | YES |
| 2 | BAPM PART # | ###### | 6 | | YES |
| 3 | DATE MFG | MM/DD/YY | 8 | | YES |
| 4 | QTY | Q######## | 8 | A qty of 460 would be 0000Q460 | YES |
| 5 | CLOCK NO | ######### | 9 | Left Padded with 0 (zero) | |
| 6 | SUPPLIER | &&&&&&&&&&&&& | 13 | Left Padded with Spaces | |
| 7 | TIME | #### | 4 | Hour & Minute 24HR Format | |
| 8 | SUPPLIER PART NO | &#*15 | 15 | Left Padded with Spaces | |
| 9 | LOT_NO | ############ | 12 | Left Padded with Spaces | YES |
| 10 | SERIAL_NUMBER | S########## | 9 | | |
| | | | 86 | | |
| | | | | | |

***If there is a field that you do not include on your label you need to leave the characters blank. You cannot truncate the lable string to anything less than 86***

LOFTWARE FORMULA

lpad(' ',8,OUR_PART)&DATEMFG&lpad('0',8,TheQ&QUANTITY)&lpad('0',9,CLOCKNO)&lpad(' ',13,CUSTOMER)&TIMEFORMATTED&lpad(' ',15,CUST_PART)&lpad(' ',12,LOTNO)&SERIAL_NUMBER

lpad(' ',8.OUR_PART)&DATENFG&lpad('0',8,QUANTITY)&lpad('0',9,CLOCKNO)&lpad(' ',11,CUSTOMER)&TIME_FORMATTED&lpad(' ',15,CUST_PART)&lpad(' ',15,LOTNO)&SERIAL_NUMBER

You must strip the Q from quantity, S from serial, 0 padding from the quantity and clock number and ' ' padding from customer, cust part and lot number.

| PARENT PART NUMBER / Program Name: | **Prospira America**<br>235 Commerce Way<br>Upper Sandusky, Ohio 43351<br>Ph: 419-294-6989 |
|---|---|

# SAMPLE PART IDENTIFICATION TAG
## NOT APPROVED FOR PRODUCTION

| **THIS SHIPMENT REQUIRES SPECIAL HANDLING** | | DATE: |
|---|---|---|
| PART NUMBER | QUANTITY | PURCHASE ORDER NUMBER |
| PART DESCRIPTION | SUPPLIER | |
| REVISION LEVEL | ADDRESS | |
| LOT NUMBER | CEMENT DATE | |
| ROUTE TO THE ATTENTION OF: | DEPARTMENT | |
| LOCATION | | |

| TOOLS USED: | PROTOTYPE: | PRODUCTION: | SIR ( Y / N ) |
|---|---|---|---|

**SUPPLIER - THIS TAG MUST BE ON YELLOW PAPER AND ACCOMPANY YOUR SAMPLE PART SHIPMENT. PLEASE ATTACH IT TO ALL SIDES OF THE CARTON AND PLACE A COPY INSIDE THE CONTAINER. IF THE PART IS NOT IN A CLOSED CONTAINER, ATTACH IT DIRECTLY TO THE PART**

PROSPIRA

# SUPPLIER PRODUCT / PROCESS CHANGE REQUEST FORM

Supplier Name: _____ Address: _____ Date: _____

Part Number: _____ Part Description: _____

Dwg No./Rev.: _____ Quantity: _____

Request Type: Process Design Source Eng. Change Deviation

Reason: Material Change Manufacturing Method Change Process Order Change

Product Specification Change Manufacturing Location Change Inspection Method Change

Tooling/Machine/Die Change Other: _____

Duration: Permanent / Temporary

Supplier Requester: _____ Phone: _____ Fax: _____

**Description of Current Process, Design, or Specification:** _____

**Reason for Change and Description of Proposed Process, Design, or Specification:** _____

** NOTE: Attach 8-D if non-conformity exists

**Lead time to change:** ** NOTE: Attach proposed project plan

**Validation Procedure/Description:**

Current PFMEA RPN# _____ Potential PFMEA RPN# _____

Current CP _____ Cpk _____ Potential CP _____ Cpk _____

**SUPPLIER / PROSPIRA APPROVALS ROUTING**

| | *Supplier* | | *Prospira America* | |
|---|---|---|---|---|
| Engineering: | Date: | Initials: | Date: | Initials: |
| Plant Mfg/User: | Date: | Initials: | Date: | Initials: |
| Quality: | Date: | Initials: | Date: | Initials: |
| Purchasing: | Date: | Initials: | Date: | Initials: |

**PROCESS CHANGE REQUEST RESULTS**

**APPROVED** ( ) **ENG. DEVIATION NO. (If Applicable)** _____

**DENIED** ( )

**PPAP REQ'D** YES_____ NO_____

**SUBMITTAL LEVEL:** 1 2 3 4 5

**EFFECTIVE DATE:** _____ **EFFECTIVE SERIAL/LOT #:** _____

**PROSPIRA SQA ENGINEER OR DESIGNEE:** _____ **DATE:** _____

**COPY TO: Prospira Supplier Quality Engineering Representative and Purchasing Agent**

| IPP Notification (print on yellow paper) | | | |
|---|---|---|---|
| Date: / / PCR#: | | Tracking #: | |
| Lot No: | | | |
| Qty: | | | |
| Part No: | | | |
| Part Name: | | | |
| 1 | Design Change | 6 | Machine Change |
| 2 | New Supplier | 7 | Fixture Change |
| 3 | Material Change | 8 | Die/Mold Change |
| 4 | Mfg Method Change (Coating Applic.) | 9 | Inspection Method Change |
| 5 | Mfg Process Flow Change | 10 | Transfer Method/Packing Change |
| Comments: | | | |
| Signature of Person Responsible:<br>Date: | | | |

SQAM Appendix VIII

| RAW PART # | Date | Qty |
|---|---|---|
| | | |

| Raw Part Lot #: | |
|---|---|

| PHOS PART# (Chromate / Anodize / Alodine) | Date | Qty |
|---|---|---|
| | | |

| BOND PART# | Date | Qty |
|---|---|---|
| | | |

| Subcontr. Lot #: | |
|---|---|

| EXPIRATION DATE | |
|---|---|
| **PHOS** | **BOND** |
| | |

NEXT OP: **PHOS BOND MOLD ASSY SHIP**

| QA"OK"(INCOMING) | PHOS "OK" | BOND "OK" |
|---|---|---|
| | | |

PROSPIRA

# SQAM ACKNOWLEDGEMENT

_____ acknowledges the receipt of and the agreement
*(Company Name)*

with all policies and procedures herein pertaining to the Prospira America Supplier Quality Assurance Manual (SQAM), Revision A.

_____ _____
*(Signature)* *(Date)*

_____
*(Name Printed, Title)*

Please scan and email acknowledgement to your appropriate location within 5 days of receipt:

If acknowledgement is not signed and returned to PSAM within 5 days, your company's acknowledgment and acceptance to the terms and conditions of the SQAM will be assumed.

Appendix X

# 100% CERTIFIED MATERIAL

P/N:

SORT DATE:

SORTED BY:
(Supplier Name)

REASON FOR SORT:

REFERENCE # :

COMMENTS:

| CERTIFIED BY: | Certification Date: |
|---|---|

*PRINT ON GREEN 8 1/2" x 11" PAPER ONLY*

# PROSPIRA AMERICA

## IMDS Supplier Input Manual

PROSPIRA

JULY 2022

## Introduction

This manual provides information for successful IMDS submittals to Prospira America Corp. or PSAM. Our company IMDS organization ID is 29506. This document includes items that are most often rejected.

It is the responsibility of the higher tier supplier to communicate and enforce these requirements to the sub-tier suppliers.

Important references:

IMDS Recommendations are available upon IMDS login. Please be familiar with and adhere to the IMDS Recommendation.

New IMDS users should reference the help materials available on the IMDS Public Pages at https://public.mdsystem.com and go to IMDS System tab and then down to New to IMDS tab.

## Technical Support and Training

The data base is now administered by DXC.technology. This company was previously known as EDS.

Hands on IMDS training is available through HPE training partners which are listed on the website. PSAM has previously used Tetra Tech for training needs but selection is up to the PSAM supplier.

Contact: imds@tetratech.com

## Supplier IMDS Submission Requirements

All PSAM suppliers are required to submit IMDS reporting for part(s) they supply. This data must be approved by PSAM. If the supplier information is rejected the correction(s) should be made as quickly as possible to minimize delays in PSAM's own submission to the pertinent customer.

## BAPM Data Requirements

PSAM requires IMDS data meet the requirements specified in this manual, along with the rules specified in the IMDS Recommendations.

Part Level Requirements:

Report all finished goods as components. Material Data Sheets (MDS) with semi-component or material nodes at the top level are not acceptable.

## Ingredients Page Entry Requirements

| IMDS Field | Acceptable Entry | Comment |
|---|---|---|
| Measured Weight per Item (for delivery part) | Grams G.<br>Or<br>Kilograms Kg. | Input actual measured weight or weight per the drawing. Do not input calculated weight. |
| Measured Weight per Item (for bottom level parts) | Grams G.<br>Or<br>Kilograms Kg. | Must be within 1% of the sum of its material weights. |
| Tolerance | 2% or per the drawing | Is the allowed deviation from the stated Measured Weight, or as specified on the part drawing. |
| Calculated Weight per Item | Calculated by IMDS Database Automatically | Provides the sum of Measured Weight per item of the direct child nodes. |
| Deviation | Calculated by IMDS Database Automatically | Provides the difference between the measured and calculated weight, and must not exceed the tolerance per the part drawing. |
| Preliminary MDS (Newly Revised) | No (unchecked) | Preliminary MDS reports are not allowed unless specifically requested by PSAM. |

## Material Data Requirements

Per IMDS recommendation 001, a minimum of 90% material composition must be disclosed. PSAM recommends marking non-declarable substances as confidential instead of using miscellaneous or other wildcards. This allows suppliers to quickly identify and report substances that become declarable or prohibited over time.

It is also important to note, per IMDS Recommendation 001, material data must be created by or obtained from the material-producing company. See IMDS Recommendation 001 Rule 4.4.1.E.

Report homogeneous materials in their finished state, as they exist on a vehicle. Problems are common with the following material types:

Coating and adhesives

**Report the composition of coatings and adhesives after they have dried or cured. Evaporative solvents including water should not be present in these materials.**

Two part materials (adhesive, foams)

When two materials are combined and react to create a new material, it is the final resulting material composition that should be reported.

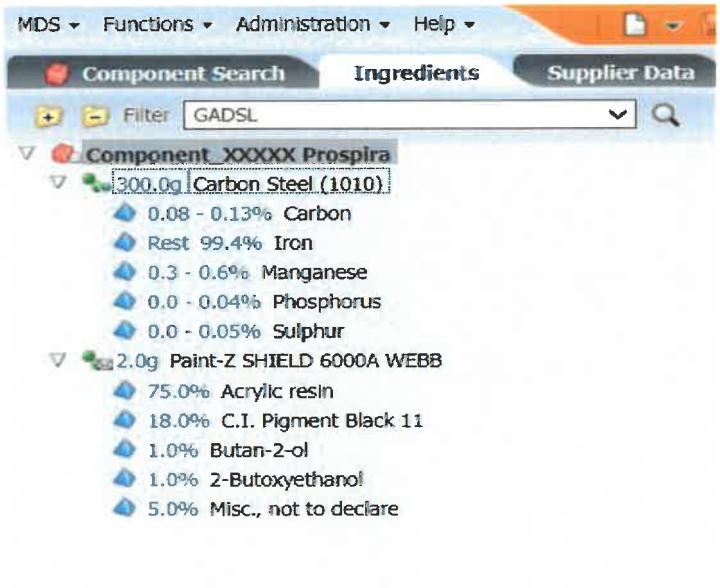
Coated Steel

Report galvanized and other coated steels as separate material, specifically the base metal and then the coating(s). Reference IMDS Recommendation 007 and 008 for more information.

## Examples of Proper MDS Structure

Try to use components, materials and ingredients to structure your MDS. Try not to use semi-components unless absolutely necessary based on how your supplier created MDS passed down or released to you. Remember semi-component or material nodes at the top level of the MDS are not acceptable.

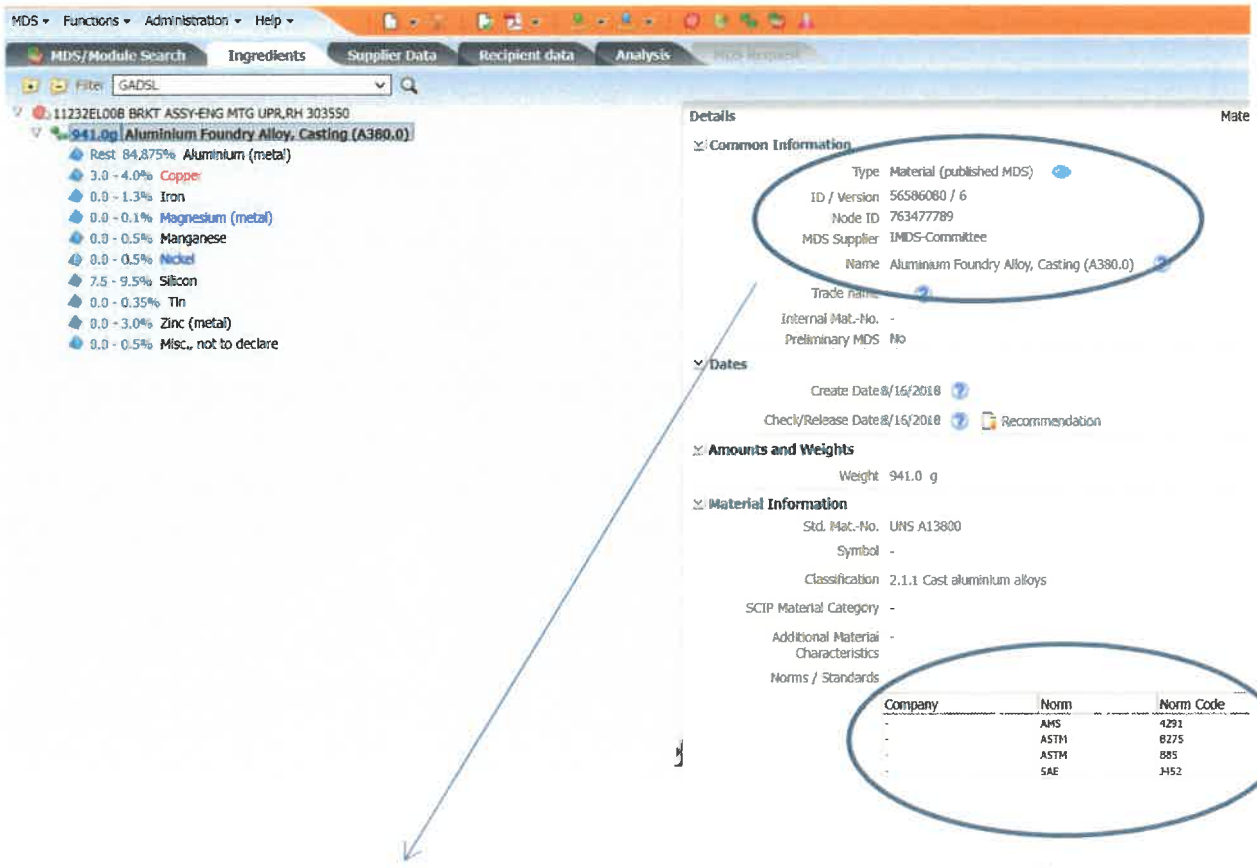
Acceptable Structures of MDS that will not result in mixed node error after check are shown below. Both are acceptable and should not result in mixed node error.




## Examples of Proper Material Entries

Remember PSAM and most OEM companies distinguish materials by the combination of material name and public or in-house standard. Be sure the material name is derived from the applicable material standard so it is recognized and acceptable by PSAM customers. Ultimately the OEM must accept the PSAM MDS so the supplier MDS must comply with their requirements.

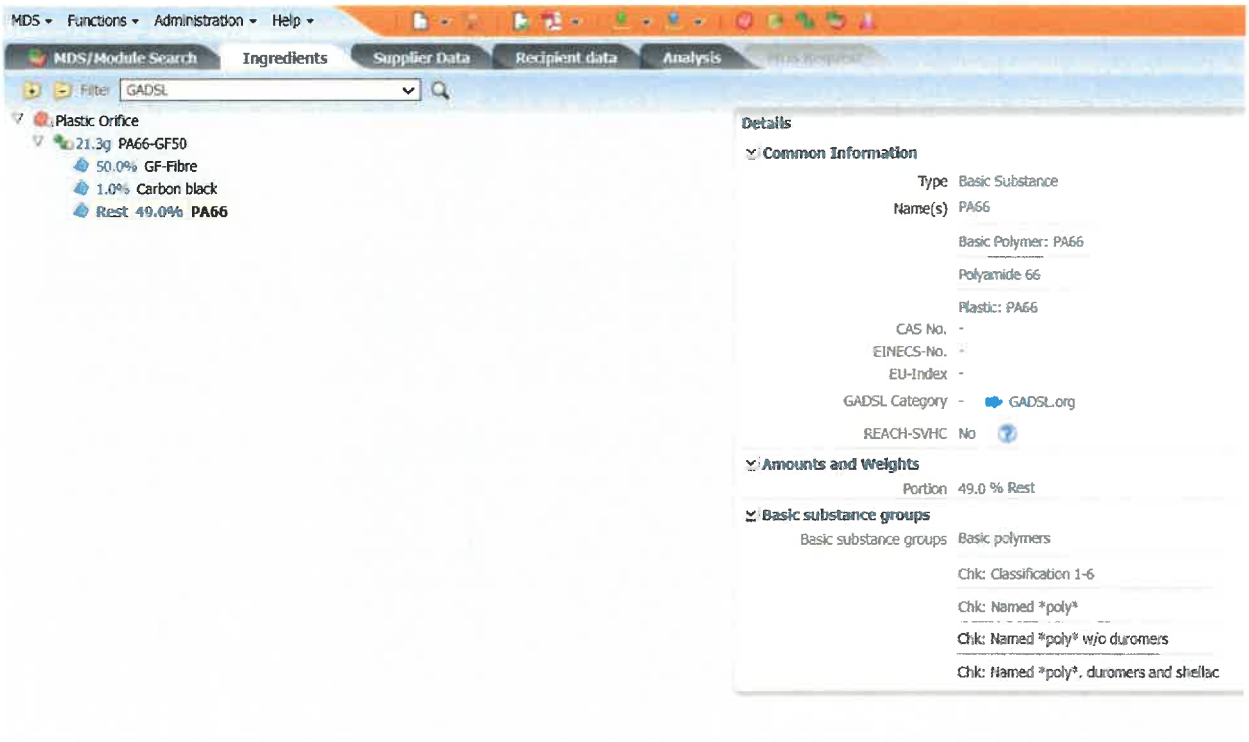
OEM = Original Equipment Manufacturers (Example Nissan, Honda, GM, Subaru, or Toyota)



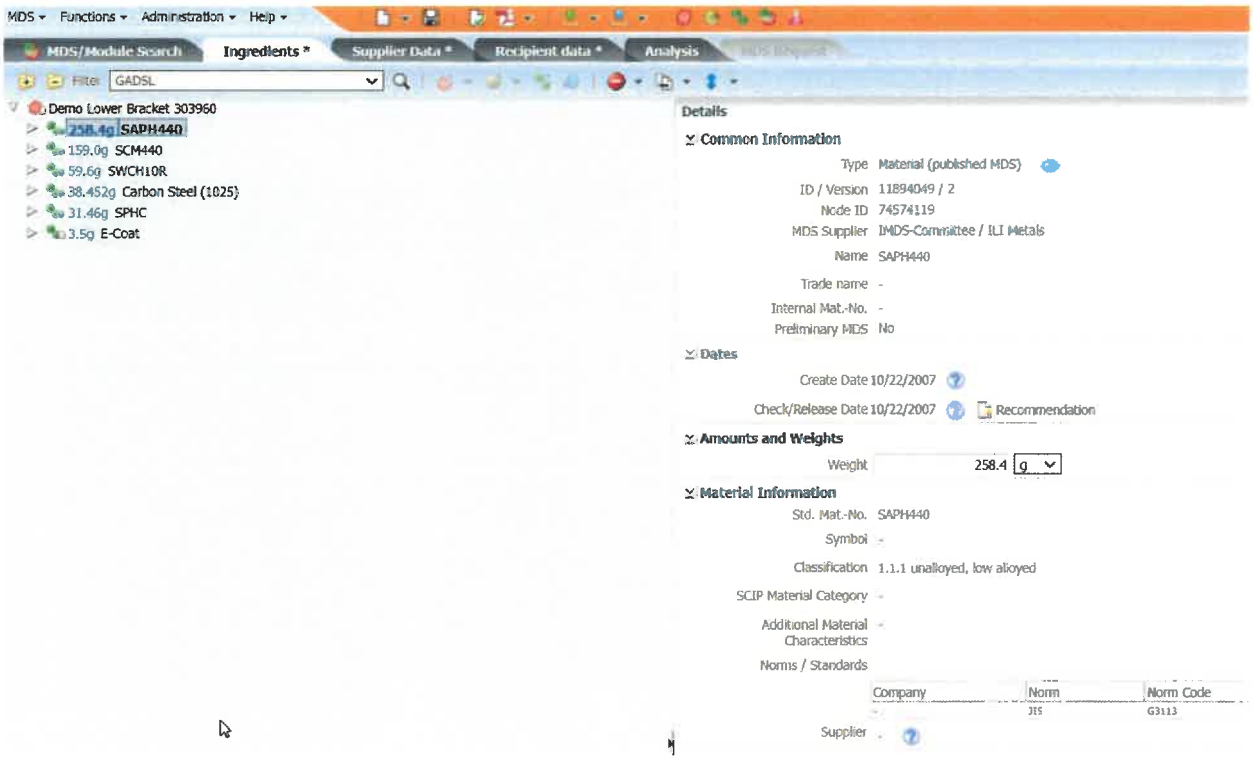

Try to use IMDS metal standards published by IMDS –Committee.

Be sure to add material standard if applicable. This is very important for parts supplied to Toyota.

Sample Material MDS for Nylon.



Sample MDS for coated multi-metal component.



## Published MDS's

Materials with composition according to a public standard (SAE, JIS etc.) are published in IMDS by the IMDS steering Committee. Suppliers are recommended to use these standards whenever possible.

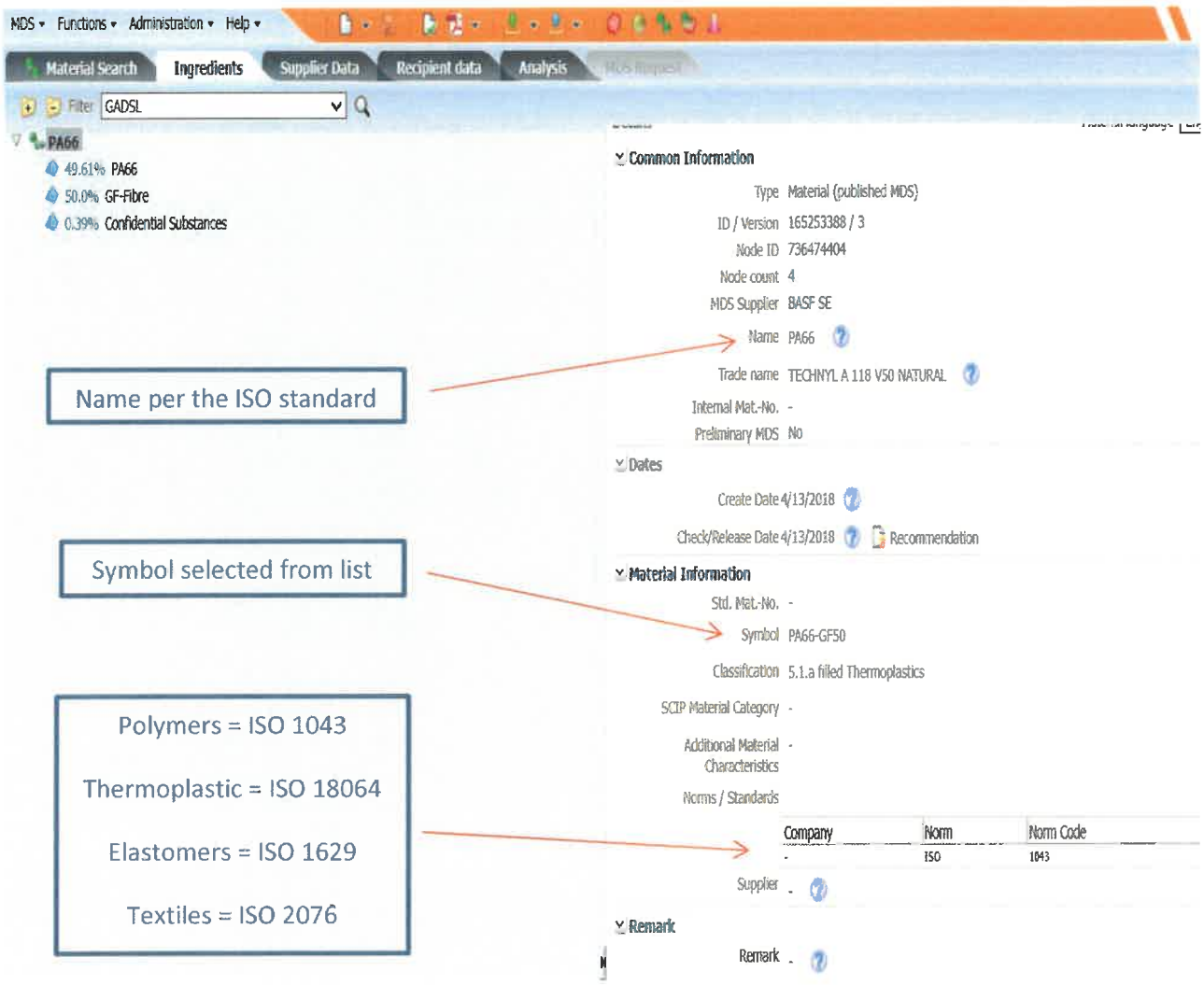
## Material Entry Requirements

| IMDS Field | Acceptable Entry | Comment |
|---|---|---|
| Name | Must be per the referenced material standard (standard materials) or descriptive (non-standard materials). | See IMDS Rec 001. |
| Symbol | Select from pull-down list. | Required for polymer, thermoplastic elastomer, or elastomer. |
| Classification | Per Rec 001 Annex 1. | |
| Norms/Standards | Public material standard required if applicable.<br>Leave norms/standards blank if there is not an applicable material standard. | -Material classifications 1-4 generally have an applicable material standard.<br>-Use ISO standards for classifications 5.x.<br>-Classifications 6-9 often do not have an applicable standard. |
| In House Norms | Add OEM in house material standard or otherwise leave blank. Remember only the OEM can see this field. | Entry by lower tier is only visible to OEMs. May need to verify entry with your supplier by means outside IMDS. |
| Preliminary MDS (Newly Revised) | No (unchecked) | |

Remember some OEM's distinguish materials by the combination of material name and public or in house standard. Be sure the material name is derived from the applicable material standard so it is recognized and acceptable by the OEM. Remember that PSAM must ultimately send its part submission with your MDS attached.

An example of acceptable 5.x material entry is provided on the next page.

Classification 5.x material entry example:



## Substance Data Requirements

Substances listed in the Global Automotive Declarable Substance List must be reported.

A maximum of 10% miscellaneous, joker, or confidential substances are allowed. PSAM and most OEM's recommend marking substances confidential instead of using miscellaneous for the ability to internally track regulated and prohibited substance use and reporting.

Select valid, accurate substance application codes where they are required.

## Recipient Data Page

Recipient Data Entry Requirements:

| IMDS Field | Acceptable Entry |
|---|---|
| Company- / Org. -ID | 29506 (PSAM Org. –ID) |
| Part/Item No. | Per drawing |
| Description | Per drawing |
| Drawing dated | Per drawing (Most recent revision date.) |
| Drawing Change Level | Per drawing (Most recent revision letter.) |

## IMDS Checklist

Before submitting data, check that the following items described in this manual are complete and accurate:

- Measured weight per Item for the delivery part is within the tolerance specified of 1% or less.
- Measured weight per Item for bottom level parts is within 1% of the sum of the measured weights of its component or material child nodes.
- Materials are reported in their final form.
- Standard material names are descriptive or per the OEM requirements if available.
- Non-standard material names are descriptive or per the OEM requirements if available.
- Public or in house material standards are provided where applicable, including ISO standards for classification 5.x materials.
- Material symbol is selected from the list for applicable 5.x materials.

- Substance application codes are active and appropriate.

IMDS data check warnings are shown for items that are not according to IMDS recommendations. All warnings should be corrected before data is submitted. Only in rare cases will an MDS submitted with a warning be accepted.

## Status Reports

PSAM suppliers should check the status of their submittals within the IMDS and make timely updates to rejected data.

## Disclosures

This manual was compiled using excerpts from the help materials available on the IMDS Public Pages at https://public.mdsystem.com/documents. Data was also added from the Toyota IMDS manual to facilitate PSAM submission of our MDS to the OEM.

## Revisions

| Revision Level | Date | Description | By |
|---|---|---|---|
| D | June 2022 | D Revision | David Siciliano |

# Prospira America IMDS ACKNOWLEDGEMENT

_____ acknowledges the receipt of the PSAM
*(Company Name)*

IMDS Manual.

_____ _____
*(Signature)* *(Date)*

_____
*(Name Printed, Title)*

Please scan and email acknowledgement to the following within 5 days of receipt to your PSAM Purchasing representative.

Appendix XIII

# PROSPIRA PACKAGING PROPOSAL FORM

Date: _____

Supplier Name: _____

Supplier Address: _____

_____

Supplier Contact: _____

Phone: _____

Fax: _____

Email: _____

Supplier Signature: _____

**PART NUMBER:** _____

**DESCRIPTION:** _____

**Prospira Address:**

235 Commerce Way
Upper Sandusky, OH 43351
Phone: 419-294-6989
Email: Prospira Purchasing Agent

## PART SKETCH

**NOTES:**

## CONTAINER SKETCH

**NOTES:**

## INTERIOR PACK SKETCH

**NOTES:**

## PALLET LOAD (AS SHIPPED)

**NOTES:**

| PART INFORMATION | |
|---|---|
| LENGTH INCHES | |
| WIDTH INCHES | |
| HEIGHT INCHES | |
| WEIGHT POUNDS | |
| MATERIAL | |
| | |
| | |

| PACKAGING INFORMATION | |
|---|---|
| CONTAINER TYPE/SIZE | |
| LENGTH INCHES | |
| WIDTH INCHES | |
| HEIGHT INCHES | |
| WEIGHT POUNDS | |
| MATERIAL | |
| DUNNAGE MATERIAL | |

| LOGISTICS | |
|---|---|
| DAILY USAGE | |
| QTY PER PACKAGE | |
| GROSS WEIGHT | |
| CONTAINERS/PALLET | |
| | |
| | |
| | |

| Supplier Title | APPROVED | DATE |
|---|---|---|
| QA MANAGER | | |
| MFG. MANAGER | | |
| ENG. MANAGER | | |

| Prospira Title | APPROVED | DATE |
|---|---|---|
| Materials Manager | | |
| Mfg. Manager | | |
| Logistics Manager | | |
| QA Manager | | |
| Supplier Quality Manager | | |
| Purchasing | | |

PROSPIRA

## Returnable Packaging Inventory Form

Contact:_____
Date:_____
Supplier:_____

| Container Type | # Containing Inventory | # Empty | Total # | # Damaged | Comments | |
|---|---|---|---|---|---|---|
| | | | | | | |
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PROSPIRA

# Code of Conduct

## Supplier and Service Provider's Guide

Prospira is rooted in innovation and dedicated to providing world-class anti-vibration products for the automotive industry that improves lives around the globe. We combine economic success, social responsibility and environmental protection in our business operations and enable our customers to meet the current and future needs of society.

We strive to connect our strengths with our suppliers' competencies to make full use of the opportunities sustainable development offers. This also implies that we expect our suppliers as well as their suppliers and sub-contractors to fully comply with applicable laws and adhere to recognized state and federal environmental regulations, social and corporate governance standards.

We particularly expect you as our supplier to support and embrace and enact the following:

**Environment:**

You comply with all applicable environmental, health and safety regulations.

You promote the safe and environmentally sound development, manufacture, transport, use and disposal of your products.

You use resources efficiently, apply energy-efficient, environmentally friendly technologies and reduce waste, as well as emissions to air, water and soil.

You minimize your impact on climate change and water scarcity.

**Social:**

You support and encourage business opportunities with minority owned, women owned, disadvantaged/disabled veteran owned businesses.

You integrate sustainability within your company culture and committed to improvement of any environmental programs.

**Governance:**

You abide by all applicable national and international antitrust and trade control regulations.

You work against corruption including bribery and ensure that personal relationships do not affect business activities

Our relationship with you is based on mutual trust and respect. You may also demonstrate your commitment to these principles through compliance with your own code of conduct or company policies that embrace these standards. However, Prospira America Corporation may ask you to verify your compliance by any of the following methods and to take corrective action if there is a reason for concern: on-site audits, self-assessment, and/or certifications.

Ensuring the principles of sustainability development in our supply chain is important to us. You are a part of our supply chain – Prospira America Corporation counts on your commitment!

Ricky Pang
General Manager – Purchasing

PROSPIRA

**SUPPLIER:** _____

**ATTENTION:** _____

**SUBJECT:** **Build Out Notification**

**DATE:** _____

Production Location: _____

Part Number: _____

Estimated Effective Date: _____

Contract Order: _____

Estimated Monthly Service Volume: _____

As the build out date approaches all minimum and multiples will be pulled from the releases. Please ship only what is documented on the releases.

**OVER SHIPMENTS WILL NOT BE ACCEPTED WITHOUT PRIOR WRITTEN APPROVAL FROM PSAM PURCHASING.**

**It is the suppliers responsibility to ensure that the shipping quantities are in agreement with PSAM. Any discrepancy with the quantities WILL ALWAYS default to PSAM. Please make adjustments accordingly.**

**Supplier has 30 DAYS from the date of notification to submit claim for obsolescence to the Prospira Materials department.**

**Supplier has 1 WEEK from the date of build out to submit final inventories and justifications.**

**Before payment is made, Prispira reserves the right to inspect and verify the actual material stated in the claim.**

**Do not dispose of the obsolete material until the claim is resolved.**

**CONFIRMATION OF RECEIPT:** _____

***Sign & email to Prospira Purchasing/Materials within 48 HOURS of receipt.***

If you have any questions contact:

Prospira Purchasing Agent
235 Commerce Way
Upper Sandusky, OH 43351
Phone: 419-294-6989
Email: Prospira Purchasing Agent (Representative)

Thank you in advance for your contribution in a successful build out!

PROSPIRA

# SUPPLIER KPI CHECK SHEET

| SUPPLIER: | SUPPLIER NUMBER: | REPORT DATE: |
|---|---|---|

| | TARGET | ACTUAL | | TARGET | ACTUAL |
|---|---|---|---|---|---|
| **Quality Performance** | | | **Process Control** | | |
| Defect Rate (Delivered) as PPM | | | On Time Preventative Maintenance Rate (%) | | |
| Delivery Rate - On Time Delivery | | | Production Overall Equipment Effectiveness (OEE) | | |
| Internal Defect Rate | | | Turnover Rate for Direct Hired Employees (%) | | |
| Quality Alert response to target | | | Manpower Ratio dierect hire to total labor | | |
| | | | Supervision ratio (Total direct labor per supervisor) | | |
| | | | | | |
| | | | | | |

| | | | |
|---|---|---|---|
| | | | |
| | | | **COMMENTS:** |
| | | | |
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| | | | |
| | | | REVIEWED BY: |
| | | | |
| | | | DATE: |

PROSPIRA

Suppliers Complete all Highlighted portions - Photos must be included.

**Program:**

| Tool Dimensions (Specify Unit) | | |
|---|---|---|
| Length | | |
| Width | | |
| Height | | |
| Weight | | |

| | |
|---|---|
| ID Tag # | |
| PSAM Purchase Order # | |

| | | |
|---|---|---|
| 1 | Supplier | |
| 2 | Supplier Part Number | |
| 3 | PSAM Part Number | |
| 4 | Part Description | |
| 5 | Tool Description | |
| 6 | Tooling Category (i.e.: stamping, gauge, casting, etc.) | |
| 7 | Tool Sequence Number (If tooling is progressive) | |
| 8 | Does Tool make a part that is an assembly? If yes, how many tools are required to make assembly? (purchase parts excluded) | |
| 9 | Primary Material (specific material used to make tool) | |
| 10 | Tool life expectancy in number of parts | |
| 11 | Tooling Location - City, State and Zip | |
| 12 | Press tonnage (if applicable) | |
| 13 | Projected # of tools: (Annually) | |
| 14 | Projected # of tools: (Life of Program) | |

**PHOTO #1, TOP SIDE OF TOOL**

**PHOTO #3, ASSET TAG VISIBLE**

Completed By: (Supplier representative)

## DESCRIPTION: Residual Metal Part Forming Lubricant Guidelines

The parts you are supplying are to be used in rubber-to-metal bonded applications. PARAFFINIC MATERIALS are detrimental to the basic bonding process. Please refrain from using paraffinic and especially chlorinated paraffinic lubricants which are difficult to remove from the metal using an alkaline cleaning process.

It is preferred parts are manufactured with Non-Paraffinic lubricants or processing aids when practical. Use of the above materials needs to be declared and a plan for their removal prior to shipping is to be submitted to Prospira via our Purchasing and Quality Engineering Departments.

It is preferred that part suppliers use synthetic lubricants or semi-synthetic water-soluble lubricants. Lubricants derived from vegetable sources can also prevent difficulties in the removal process. Prospira prefers synthetic lubricants and water-soluble anti-rust preventatives. Mineral oils usually contain paraffinic hydrocarbons which can be difficult to remove.

Prospira recommends the use of synthetic metal working fluids like- Bonderite L-FM 7160 and Bonderite L-FM F5014 from Henkel and Nox-Rust X-703 from Daubert Chemical. These are water soluble anti-corrosive lubricants and Nox-Rust X-703 is used by PSAM internally for metal anti-corrosion properties. Henkel Corp has representatives around the world and can help with metal lubricant selection that can be removed by alkaline cleaning technology.

Component Surface Condition: Components need to be received in usable surface condition.

Useable Condition:

- Easily removable rust prevention lubricants by alkaline cleaning process.
- Use specified metal lubricant or anti anti-corrosion material specifically designed for removal by alkaline cleaning chemistry.

Unusable Condition:

- Excessive metal-forming lubricant or anti-corrosion material.
- Coating that contains chlorinated paraffinic hydrocarbon content.
- Coating that contains un-approved paraffinic hydrocarbon content.
- Coating that uses metal-forming or anti-corrosion material that is not specifically designed by a reputable manufacturer for removal by alkaline cleaning systems.

☐ ***NO PARAFFINIC MATERIALS were used in the manufacturing of _____***

***Part Number***

***Any change in the manufacturing process or use of materials will require a PCR to be approved prior to use.***

☐ ***PARAFFINIC MATERIALS were used in the manufacturing of _____***

*Part Number*

***Any parts need to have a plan outlining the cleaning of the materials. Documentation from the lubricant supplier of suitability for removal by alkaline cleaning technology is required.***
***Please detail below what process was used to remove the paraffinic from the surface prior to shipping and what water soluble anti-rust agent (including CAS#) was applied after cleaning the surface.***

Supplier X_____
***To be submitted with PPAP***