Supplying TRICO Products

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All forms are available on TSN in their latest version.

A. Supplier Manual

Trico Supplier Manual

PURPOSE: The purpose of this Supplier Manual is to communicate TRICO's Business Management system requirements to our suppliers. These requirements and expectations apply to Suppliers that supply production goods and/or services to Trico.

SCOPE: This manual applies to all product (Internally used and or shipped direct, Includes Customer directed source), material and services to Trico Products Inc.

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1. **INTRODUCTION:** The purpose of the Trico Supplier Manual is to communicate TRICO's Business Management system requirements to our suppliers. Trico believes in manufacturing excellence and believes the highest standards create the highest quality. This journey to excellence includes a close working relationship with our suppliers to continuously focus on the products and services provided to ensure excellence and always in search of continuous improvement. Trico's suppliers must be committed to the same vison and meeting these same goals.

1.1. Vision and Mission

Trico Products is committed to maintaining an atmosphere of high integrity, trust, teamwork, and continuous improvement throughout all levels of the company. We strive for excellence in our people, products and services. We recognize achievements, celebrate success and encourage people to reach their full potential. Management provides the structure and support necessary for the success and continued growth of our business

As a worldwide leader in the development and supply of Windshield Wiper Systems to the automotive industry, Trico Products will exceed the requirements of all our customers while providing for the return of a fair profit to our stockholders. We will maintain a strategic position in the competitive global market through the continuous improvement of our products and services.

1.2. Quality Policy

Trico Products Executive Steering Committee ensures that quality improvement is continuous, effective and is a pervasive theme throughout all business activity. The commitment and policy for quality are expressed in the KEY OBJECTIVES for quality:

-Provide best-in-class products and services

-Continuous improvement approach to all aspects of the business

-Motivate, train, and educate all employees

-Provide an environment that supports teamwork and personal growth

1.3. Language- All official communication and documentation will be in English. Parallel native translation is allowed in documentation, for the purpose of communication.

2. REFERENCES

2.1. Automotive and International Standards, all standards are to be specifically referenced in the latest Authorized Version. It is Supplier responsibility to maintain to current revision.

IATF 16949	Quality Management System Requirements for Automotive
ISO 9000	QMS, Fundamentals and Vocabulary
ISO 9001	Quality Management System
ISO 14001	Environmental management system
ISO 17025	General requirements for the competence of testing and calibration laboratories

2.2. AIAG Quality Manuals

Automotive Industry Action Group site where suppliers can find published to the latest revision, information on APQP, PPAP, FMEA, MSA, and other Special Processes,

APQP	Advanced Product Quality Planning-Includes Control plan
FMEA	Failure Mode Effect Analysis
MSA	Measurement System Analysis
SPC	Statistical Process Control
PPAP	Production Part Approval

M7-4	Global MMOG, Materials Management Operational Guidelines
CQI-8	Layered Process Audit
CQI-9	Heat Treating Processes.
CQI-11	Plating Processes published by AIAG latest rev.
CQI-12	Coating Processes published by AIAG latest rev
CQI-14	Automotive Warranty Management
CQI-15	Welding Processes published by AIAG latest rev.
CQI-16	ISO/TS 16949 Guidance Manual
CQI-17	Soldering Processes published by AIAG latest rev.
CQI-19	Sub-tier Supplier Management Process guide published by AIAG latest rev.
CQI-20/21	Effective Problem Solving and Leader Guide
CQI-22	Cost of Poor Quality
CQI-23	Molding Processes published by AIAG latest rev.
CQI-27	Casting system Assessment

2.3. Automotive IATF Customer Requirements

2.3.1.	Ford
2.3.2.	FCA
2.3.3.	GM
2.3.4.	Other Requirements (BMW, Scania, etc.)

2.4. Trico Policies and Procedures are available in TSN, (Trico Supplier Network)

IEN-Cl-P104S	Packaging Specification, Supplier Label Compliance Requirements referenced in TSN
SQE-C-P012	Supplier Monitoring and Development
SQE-C-P013	Supplier Production Part Approval
SQE-C-P014	Corrective Action Requirements
PUR-C-P012	Supplier Approval and Disapproval
PUR-C-P044	Identification of Pre-PPAP Approval Parts
F5SQ001	Trico PPAP Checklist

2.5. Definitions: Refer to AIAG, IATF 16949 including Annex A& B and ISO 9000 for sanctioned definitions

3. Trico Expectations

3.1. General Business Expectations, Customer satisfaction and customer requirement fulfillment is Trico's priority. We are striving for zero defects in purchased goods and services. We expect Zero PPM, 100% on time delivery of product, and 100% correct submission of samples FTT and on time.

The following are Trico's Expectations, reflected in TSN and SQE-C-P012

- Shared Goals
- Products/ Materials meeting specifications, 0 PPM
- On-time delivery 100%
- Competitive Cost
- Adequate Inventory
- High Quality Service
- On-time Corrective actions when required
- Flawless PPAP
- Continuous Improvement

3.1.1. Terms and Conditions- Supplier must abide by Trico's terms and conditions- see TSN for latest version

3.1.2. Statutory and Regulatory- Suppliers are responsible for all applicable statutory, regulatory requirement and quality of the products or services ~~as~~ provided to TRICO. This includes conformance of raw materials, products and services to specifications, special process and process characteristics as well as meeting specifications for dimensions, function, cleanliness, and packaging with the obligation to set a zero-defect goal and to continuously improve performance, See Trico expectations 3.1.

4. Suppliers Business System Requirements

4.1. The Suppliers for (I) Material & (II) Components should be registered to the latest revision(s) of IATF 16949 by an accredited 3rd party IATF certification body as per matrix in 4.1. Those suppliers not meeting this requirement must be at (minimum) ISO 9001 registered.

Trico will follow the sequence as specified in IATF 16949 to achieve IATF16949. The supplier must have a plan and timeline with Objective to meet IATF 16949. Trico must review and approve. This will require 2nd party audits, performed by Trico as spelled out in section above.

The supplier must have the ultimate goal of becoming certified to the IATF QMS standard. (refer to audit section for clarification on audit requirements)

See next section for clarification of Supplier QMS

Supplier Quality Management Systems Requirements matrix

Supplier Type	IATF 16949	ISO 9001	ISO 14001	ISO 17025	Risk Analysis	Self- Assessment
I. Material	Yes 1	minimum	Yes 2	No 3	Yes	Yes
II. Product (Components)	Yes 1	minimum	Yes 2	No 3	Yes	Yes
Special Services, (Calibration, Testing)	No	minimum	No	Yes 4 see 5	Yes 5	No 5
MRO	No	minimum	No	No	Yes	No
Transportation	1	minimum	No	No	Yes	Yes

1. Non-Automotive Suppliers- are exempt from IATF16949, see ISO 9001 note- min.
2. Preferred, must be able to show conformance if not certified
3. Must demonstrate Conformance to ISO 17025 thru QMS, can be met by IATF 16949 requirements
4. ISO 17025 or national standard
5. Customer plant directed source for sorting (CSI &II etc.) are exempt from Risk and self-assessment analysis

4.1.1. Approved Supplier List- In order to do business with Trico, Suppliers must meet the Supplier Manual as indicated and must be on the Trico Approved Supplier List per PUR-C-P012.

4.1.2. Outcomes to Supplier Approved List are: Approved, Conditionally Approved, On business Hold or De-source

4.1.2.1. Approved - Fully meets all requirements

4.1.2.2. Conditionally approved - meets requirements with action plan

4.1.2.3. On Business Hold - Has failed to meet requirements consistently and or violated trust

4.1.3. De-source- Removed from Supplier approved list

4.2. Sub-supplier's Quality Management System

The SUPPLIER shall pass down Trico requirements and agrees to require their sub-suppliers to maintain a quality management system based on the International Standards ISO 9001 with the obligation for sub-suppliers to also set a zero-defect goal and to continuously improve their performance. (reference CQI-19).

TRICO may request documented evidence from the SUPPLIER showing the effectiveness of the quality management system utilized by their sub-suppliers.

4.3. Audit -Trico reserves the right to visit and audit Suppliers and sub-suppliers. Suppliers will be audited for the following reasons.

4.3.1. Supplier Quality Management System Development, as stated on 4.0, Supplier that are not 3rd party registered to IATF will require to be audited by Trico as 2nd party.

4.3.2. These audits will require a cost to the supplier.

4.3.2.1. The level of audit will be dependent on the status of the supplier to meet ISO 9001 and IATF 16949

4.3.2.2. ISO 9001:2015: Minimum

4.3.2.3. ISO 9001:2015 w/MAQMSR 2nd party (Trico)

4.3.2.4. IATF 16949 compliant thru 2nd party (Trico)

4.3.2.5. Corrective Actions plans from the 2nd party audits will be required to be closed within 90 days.

4.3.3. In the event performance issues, should arise, the SUPPLIER shall enable TRICO to conduct an audit at their facility or sub-suppliers.

4.3.3.1. Performance issues affecting TSN

4.3.3.2. 2nd party Findings

4.3.3.3. 3rd party audit status, (including IATF with poor external audits)

4.3.3.4. Other risk analysis factors through Supplier monitoring

The SUPPLIER shall authorize TRICO to determine through audits whether their business management system meet the requirements of TRICO. Self-Audits will be required from Suppliers when they fail to meet or maintain minimum rating consistently.

After advance notification, an audit can be conducted as a system, process or product audit. The SUPPLIER shall support all 2nd party audits, including short-term audit date requests.

The SUPPLIER shall grant TRICO and its customers, to the extent necessary – access to all plant areas, test departments, warehouses and adjoining areas, as well as access to quality-relevant documents. Reasonable restrictions imposed by the SUPPLIER to safeguard business confidentiality/secrets will be accepted.
TRICO shall communicate the result of this audit to the SUPPLIER. If TRICO considers corrective actions to be needed, then the SUPPLIER agrees to immediately prepare a corrective action plan and implement it on schedule. The SUPPLIER shall notify TRICO of all progress made.

4.4. Quality and Delivery Targets

The SUPPLIER is committed in the same way as TRICO towards its customers to the zero-defect and 100% OTD goal in business with TRICO. If the goal is not attainable in the short term, TRICO, together with the SUPPLIER, shall set temporary upper limits for defect rates as an interim goal. The SUPPLIER shall propose and agree with TRICO on improvement actions. If the defect rate is below the upper limit, this does not release the SUPPLIER from his responsibility to process all complaints and to proceed with continuous improvement activities. The SUPPLIER's liability for defects or compensation claims due to defective deliveries is not affected by any temporary agreements that are put in place.

4.5. Notification, Information and Documentation

4.5.1. If it becomes evident that agreements reached such as quality characteristics, schedules or delivered quantities cannot be met, the SUPPLIER shall notify TRICO immediately. The SUPPLIER shall also notify TRICO immediately of any deviations detected after delivery. To support a rapid solution, the SUPPLIER shall disclose all necessary data and facts.

4.5.2. The SUPPLIER agrees to seek approval (Reference SREA in TSN and section 6.2) from TRICO **prior to;**

4.5.2.1. changing the production methods, sequence and materials (also at sub-suppliers)
4.5.2.2. changing of sub-suppliers
4.5.2.3. changing test methods/equipment
4.5.2.4. relocating production sites
4.5.2.5. relocating production equipment at the same site and any other change as listed on AIAG Manual or specified in Customer requirements.
4.5.2.6. All changes made to the product and in the process chain shall be documented by the SUPPLIER in a product history file and shall be available to TRICO upon request to TSN.

4.5.3. The SUPPLIER agrees to furnish the quality documentation agreed upon.

4.5.4. The Supplier shall request approval through TSN Trico Supplier Network (SREA)

4.5.5. The first three deliveries to each TRICO site after SOP and after changes listed above must be identified in the delivery papers/packaging slips. Reference packaging specification detail (IEN-CI-P104) and supplier labeling compliance located in TSN site.

4.5.6. The SUPPLIER must have procedures for control of documents and data, and shall implement them effectively. This includes documents of external origin, such as standards and customer drawings, to the extent needed.

4.5.7. Documents must be retained for at least 7 years. Documents with special archiving must be retained for at least 15 years.

4.5.8. Records of incoming inspection (concerning purchased parts and other raw materials from sub suppliers), reliability and endurance testing, end of line testing and defect analysis, if applicable, must be retained by the SUPPLIER at least 24 months. The SUPPLIER shall grant TRICO the right to inspect records upon request. In individual cases, TRICO may require a longer retention period.

5. Management

5.1. Commitment- The Supplier Management shall ensure that Trico's' requirements are reviewed and complied with the aim of enhancing customer satisfaction. Supplier process shall include the monitoring of trends within the processes, product and quality system to assure their effectiveness and efficiency in their management review.

5.2. Management Approval - Supplier management commitment shall include the following:

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

5.2.2. Adhere to all requirements including all Purchase Order and Terms and Conditions.

5.2.3. Confirm agreement to conduct business ethically as outlined in Trico's Supplier Code of Conduct. See appendix

5.2.4. Ensure that all these requirements (Trico Supplier manual) are adequately communicated to the Sub-Tier suppliers

Planning

5.2.5. Risk Analysis- The supplier shall have documented process to address risks that impact the supplier and in planning for the Business management system and shall consider those risk to assure it meets Customer expectations.

5.2.6. Preventive actions- The supplier shall have a documented process to implement actions that can potentially impact from meeting customer expectations

5.2.7. Contingency Plans- Suppliers shall create functional Contingency Plans to address the following types of issues and risks: A risk analysis will be documented. These plans should be verified,

Types of contingency plans shall include the following;

5.2.7.1. Fire and or other emergencies, including utilities
5.2.7.2. Labor shortages and other human resource
5.2.7.3. Terrorist actions
5.2.7.4. Key process and equipment resources
5.2.7.5. Sub-supplier financial or other disruptions

5.2.8. Disaster Recovery Plans should include the following

5.2.8.1. IT disaster recovery
5.2.8.2. Natural Disaster

Note: Trico Suppliers are expected to develop, test and maintain contingency and recovery plans that contain Team roles and responsibilities, communication and steps to take to restart production in as short amount of time as possible.

5.3. APQP Development, Planning and Release

If the order placed with the SUPPLIER includes development tasks, the requirements shall be set forth in writing by the signing parties to the Agreement, e.g. in the form of specifications. The SUPPLIER agrees to conduct project management starting with the planning phase of products, processes and other cross functional tasks in the form of quality management plans, and to grant TRICO the right of inspection upon request.

Suppliers are required to generate an Advanced Product Quality Plan in accordance with the AIAG APQP reference manual for review by the relevant CM/PA. The timeline must meet PPAP timing requirements.

This plan shall include, but is not limited to:
a) Notification of risks that affect product integrity or the project plan.
b) Implementation of error-proofing (poke-yoke) to achieve Zero Defects to Trico.
c) Identification of changes needed to product or process specifications.

During contract review, the SUPPLIER shall examine all technical documentation, such as specifications, drawings, parts lists, CAD data, for feasibility upon receipt; the SUPPLIER shall notify TRICO promptly of any defects and risks as well as improvement possibilities identified.

During the development phase the SUPPLIER shall apply suitable preventive methods of quality planning, such as a manufacturing feasibility analysis, reliability studies, FMEA, etc. The SUPPLIER shall take into account experience (process flows, process data, capability studies, etc.) from similar projects.

5.4. PPAP- Prior to starting mass production, the SUPPLIER shall submit initial samples of the product built under mass production conditions in agreed quantities and on schedule. Mass production may not be started until it is released by TRICO.

5.4.1. All production part/material sample submissions shall be in accordance with the AIAG PPAP manual requirements as stipulated by the Trico Supplier Quality Engineer in TSN and PPAP checklist, supplied electronically through TSN, Level 3 is the default submission level unless otherwise agreed upon with the relevant receiving site Supplier Quality department.

5.4.1.1. Supplier PPAP packages, in addition, shall include all (internal and sub-supplier) PSWs at a minimum and may require additional PPAP documentation as per the receiving site Supplier Quality department.

5.4.1.2. PPAPs shall be submitted to Trico Supplier Quality department through TSN and any associated PPAP sample parts shall be clearly labeled as such. Reference identification of pre-PPAP parts in procedure PUR-C-P044.

5.4.1.3. Full approved PPAP is required prior to shipping parts/material to Trico Products for production. Any production shipments received by Trico prior to obtaining PPAP approval will be rejected and require certification. Any exceptions must be documented and approved on a Trico SREA.

5.4.2. Special Characteristics

5.4.2.1. Characteristics with special archiving requirements shall be determined by TRICO and communicated with Supplier, refer to PPAP checklist.

5.4.2.2. Special Characteristics are any product or process characteristics that affect safety or compliance with regulations, fit, function, performance or subsequent processing of product.

5.4.2.3. Special Characteristics shall be identified and specifically addressed in the DFMEA, PFMEA, Control Plans, Process Flows, Work Instructions and other associated documents. Trico designated Special Characteristics are identified on drawings/specifications or in a separate document (through TSN) that cross-references these characteristics to the drawings/specifications.

5.4.2.4. Suppliers are responsible to fully understand the usage of their product and also identify Special Characteristics, as appropriate. This includes “black box” suppliers. Suppliers are also responsible for ensuring that relevant Special Characteristics are explained, understood and controlled by their sub-suppliers.

5.4.2.5. For all characteristics, the SUPPLIER shall perform process planning (work plans, test plans, operating supplies, tooling, machinery, etc.). For function and process critical characteristics the SUPPLIER shall review the suitability of the manufacturing facilities according to statistical criteria and shall document the results. Product quality is monitored with periodic audits. Customer specific requirements determined by Trico shall be identified on the control plan.

5.4.2.6. These may include but not limited to, annual layouts, pass thru characteristics, CQI Special process audits as applicable, for example, (CQI9 heat treat requirements, CQI-11 Plating, etc.), IMDS and REACH compliance

requirements and all other statutory and regulatory requirements. IMDS and REACH compliance shall also be documented on PPAP warrant as specified.

5.5. Prototypes and Preproduction parts

The SUPPLIER shall coordinate and document the manufacturing and test conditions with TRICO for prototypes and pre-production parts. The goal is to build prototypes and pre-production parts under conditions similar to mass production.

5.5.1. All deliveries of prototype and or first off tool components, the supplier must provide an inspection report detailing: – Five parts per batch: full 100% control on all characteristics (must be separately identified). – The remaining parts: inspection of all key characteristics defined on the drawing, specification or as detailed

6. Mass Production

6.1. Mass Production must be representative of the PPAP process including all equipment dies and process and flow

6.1.1. Disruptions, In the case of process disruptions and quality deviations, the SUPPLIER shall notify Trico and analyze the causes, shall initiate improvement measures and review their effectiveness. (note: see 7.1) If, in exceptional cases, the SUPPLIER is unable to supply products conforming to the specification, he must obtain a concession from TRICO prior to delivery through an SREA thru TSN.

6.1.2. The SUPPLIER agrees to implement comments and ideas from TRICO to improve product quality by modifying production and quality assurance activities, to the extent possible.

6.2. Unauthorized changes to Approved Product and Processes

6.2.1.1. Suppliers and sub-suppliers are not to make any unauthorized changes to a product (e.g., material, component, subassembly, etc.) or the process used to produce a product that has been previously PPAP and approved by Trico.

6.2.1.2. Trico notification and submission requirements are clearly outlined in Section I.3 of the AIAG PPAP manual. Trico Quality representative shall be notified of intentions to change a product or process prior to making any changes. The supplier must submit a Supplier Request for Engineering Approval for all product or process change. Supplier must have received written authorization to proceed with the change from Trico's Quality department prior to change implementation.

6.2.1.3. Any such change made without prior written approval by Trico would not only constitute a breach of our purchase order terms and conditions, but would also be a serious breach of standard automotive practice. Suppliers who do not adhere to this requirement will be held responsible for all damages, losses and liabilities attributable to any unapproved change made by you or one of your suppliers (e.g., customer rejections, customer line stoppage penalty fees, field failures costs, warranty expense). In addition, the supplier may be placed on New Business Hold until the systemic issue is addressed.

6.2.2. Annual Re-qualification

Unless waived in writing by Trico, the supplier shall inspect and test annually a sample of each active product supplied to assure conformance to all Trico's specified requirements (e.g. dimensional, material and performance). These inspection requirements shall be included in the supplier's production control plan. Material testing shall be carried out by a qualified laboratory. Annual validation documentation shall be on file at the supplier and available to Trico upon request. If a nonconformance is found during the annual validation, the supplier

must notify the Trico using plant quality department immediately so that appropriate action can be determined and implemented.

6.2.2.1. Whenever Trico is required to submit PPAP to their customer, suppliers with PPAP documentation over one year old may be required to re-PPAP as directed by the Trico Supplier Quality department.

6.3. Mass Production, Product Identification, Traceability and Tooling/Gauging

6.3.1. Product ID, The SUPPLIER agrees to identify the products, parts and the packaging in accordance with agreements reached with TRICO. He must ensure that identification of the packaged products will also remain legible during shipping and storage. Reference supplier labeling compliance and packaging requirements, (IEN-CI-P104) in reference section- TSN

6.3.2. Traceability, the SUPPLIER agrees to ensure the traceability of the products supplied by them. Measures must be instituted to ensure that if a defect is detected, the defective parts/products/batches, etc., are traceable and contained.

6.3.3. Customer Tooling/equipment

If TRICO makes production and test equipment available to the SUPPLIER, especially equipment and fixtures related to deliveries then they must be labeled as TRICO property. The SUPPLIER is responsible for protecting this property from damage and ensuring proper function, maintenance and repair. Tooling (dies, patterns, molds, special tooling) and gauging shall be permanently marked with a unique serial number and company name so that the ownership of each item can be easily identified. Returnable containers shall be permanently marked with the company name of ownership. Marking must meet customer requirements unless waived in writing by TRICO. Customer tooling requirements are found in TSN.

The supplier shall establish preventive/predictive maintenance procedures on all tooling. Evidence of procedure execution shall be made available upon request. Preventive/predictive maintenance schedules and tool history records shall be documented and available for review.

Information imparted to the supplier, including but not limited to descriptions, drawings and technical documents in all forms of media, and any intellectual property rights therein, handed over to the supplier by Trico are and shall remain the property of Trico. The information must not be used, copied or reproduced by the supplier for any purpose outside of the tool order. The tool order does not create any right or license either expressed or implied for the Supplier to use the information for any purpose outside of the tool order. The information must not be handed over to or brought to the attention of any third party unless Trico has given its prior written approval.

No tooling shall be sold or consigned to another entity without proper notification and written consent from Trico. In such cases, or in case of tooling relocation to an alternate location or facility, it is the supplier’s responsibility to contact Trico regarding potential re-PPAP requirements prior to moving the tool.

In the case of loss or damage of Customer owned property, Trico shall be notified immediately of such damage., (Immediately 1 business day)

7. Delivery, Incoming Inspection

7.1. Delivery

Routing instructions will be provided by TRICO for all suppliers who ship under TRICO paid freight terms. All shipments shall be made by normal mode at the prescribed ship window time unless otherwise specified by TRICO.

The SUPPLIER will pay supplier caused premium transportation. Suppliers will use authorized carriers for all modes of transportation. Excess transportation costs incurred, as a result of using incorrect carriers, will be debited from the supplier's account.

Premium freight to be paid by TRICO shall have an assigned Authorization for Excess Transportation Cost (AETC) issued by the receiving location and appearing on the bill of lading.

The SUPPLIER shall deliver products in suitable shipping containers – approved by TRICO if this was agreed – in order to prevent damage and quality impairments, e.g. contamination, corrosion, chemical reactions.

7.2. Incoming Inspection

TRICO shall exercise its right to incoming inspection which may include and not limited to externally apparent shipping damage and confirmation of the quantity and part number of the ordered products, at least according to the shipping paperwork. Discrepancies are reported without delay. Incoming inspection may also include characteristics found in the specification.

The SUPPLIER must adapt his Business management system and his quality assurance activities to this incoming inspection.

The SUPPLIER must certify all shipments of product meet specifications to customer print specifications. All Special characteristics must be monitored thru SPC and data provided to Trico to assure it meets capability.
Non-certified product sent to Trico will require certification by approved sort vendor. All sort activity will require a minimum charge of QCR and sorting per hour, (see 8.1.2). Rejects will impact PPM metric. In the event that supplier finds non-conforming product has left their facility Trico should be alerted. Proactive sorts will not impact PPM however all costs must be incurred by supplier.

In the event an alert is raised at IQC due to a customer complaint, QCR etc. Product not certified for this specific alert will also be forwarded to Approved sort vendor for certification. Refer to section 5.4 Note: All QCR, PPAP & PTR parts must include the inspection reports with shipments attention IQC.

7.2.1. Complaints, Corrective Actions

The delivered products are inspected by TRICO in the normal course of business, and the SUPPLIER shall be notified promptly via a Quality Communication Report (QCR) of any defects detected in the process. Each QCR will automatically incur a debit cost of $75.00 dollars. This debit charge can only be waived by SQE.

The SUPPLIER then analyzes the defects without delay, with support from TRICO to the extent necessary and possible.

Agreed quantities of the defective parts/material shall be returned to the SUPPLIER. Supplier agrees to analyze each defect and to notify TRICO promptly of the cause of the deviation,

initiated corrective and preventive measures, as well as their effectiveness.

An automatic processing of a debit to the SUPPLIER account will be issued for QCR's with a total value of less than $75.

If the supply of components/materials not conforming to specifications should threaten to cause a production interruption at TRICO or its customers, the SUPPLIER, in consultation with TRICO, must seek a remedy through suitable immediate actions for which the SUPPLIER is responsible (substitute deliveries, sorting, rework, special shifts, rush shipment, etc.).

If appropriate, TRICO may formally place a SUPPLIER on Controlled Shipping. The intent of the Controlled Shipping is to implement a rigorous process that protects TRICO from the receipt of non-conforming parts and/or material. Controlled Shipping is a formal demand by TRICO for a SUPPLIER to put in place an additional inspection process to sort for nonconforming material while implementing root cause analysis and corrective actions. The Controlled Shipping process is in addition to normal controls. The data obtained from the Controlled Shipping inspection process is critical as both a measure of the effectiveness of the containment process and the corrective actions taken to eliminate the initial nonconformance.

8. Escalation Process

An escalation process will be used in the event that Trico communications (QCRs) are not responded to by Supplier. This 3-Step escalation process starts with Step 1 and escalates to Step 3. It is in the interest of all parties to come to agreement prior to escalation process.

The 3-Step escalation process will start if Normal 8D process in TSN is not met by Supplier.

Normal 8D Process. The supplier is required to submit a formal 8D through TSN when the 8D is requested. At a minimum, this corrective action shall identify the problem, the immediate containment that have been implemented to assure nonconforming product is not shipped to Trico, and the potential root cause(s) of the problem.

For non-conformances related to Customer Concerns or which cause a major disruption (e.g., stop shipment, line shutdown, yard holds), an action plan is required immediately after notification. In no instance, should the action plan be delayed more than 24 hours.

A completed (8D) shall be submitted no later than fifteen (15) calendar days after receipt of the nonconformance report, unless otherwise specified by Trico.

Costs and charges incurred by Trico associated with shipping, handling, processing, reworking, inspecting, engineering verification and replacing supplier responsible defective material including the costs of value-added operations prior to its discovery are the responsibility of the supplier.

Escalation Step-1 - <u>Working Meeting</u> In the event the Supplier does not address the Supplier Issue as outlined in normal process, a working meeting will be mandatory. A working meeting is a Trico plant led activity to address specific supplier performance issues not resolved in a timely fashion at Step 1. Working meetings focus on the development of an action plan to prevent or eliminate the root cause of the issue. The supplier is expected to submit periodic updates until the issue is resolved.

Supplier Quality Performance Meeting

An IQ meeting is a Trico plant led activity to address supplier performance issues not resolved in a timely fashion at Step 2. The purpose of the IQ Meeting is to identify, and mutually agree to, all actions required for the permanent resolution of the systemic and particular issues that led to the Supplier's unsatisfactory performance. The supplier shall come prepared to address the following:

- Summary of QCR events relating to the Supplier's performance concerns.
- Completed Problem Solving Report (8D) including containment actions, root cause analysis, corrective action and verification data and status.
- Preventive action plans and status to address systemic root cause(s)
- Strategic improvement plans

At the SQP meeting, Trico and the Supplier must agree on the Exit Criteria. In addition, action plans that exceed 90 days duration may require supplier justification and may warrant interim IQ meeting reviews. The supplier is expected to submit periodic updates until the issue is resolved.

Escalation Step 3 – New Business Hold

Suppliers who do not show improvement within 3 months of Supplier Quality meeting, Step 2 are automatically placed on New Business Hold. Suppliers in New Business hold will require an Action plan to be eliminated from this status. In addition, Suppliers who are placed on New Business Hold must remain in tolerance for six consecutive months (From date of action plan received) in order to be removed from New Business Hold.

Trico will perform audits to verify corrective actions at its discretion. Trico may request an extra audit from the supplier's registrar in cases of on-going performance issues. The cost of the audit will be the responsibility of the supplier.

9. Supplier Monitoring

TRICO will track supplier quality and delivery performance with the goal of achieving zero defects and 100% on time delivery. The Supplier Cost Improvement Proposal (SCIP) module consists of plus10 points in the overall rating and is designed to incentivize suppliers to reach the preferred (green) level.

The data is calculated into an overall score for the supplier, for which 100 is a perfect score.

90-100 points = Green Supplier = Preferred
70-89 points = Yellow Supplier = Acceptable
Less than 69 points = Red Supplier = Developmental

Note: In the event that supplier rates red consecutively, Escalation step 3 process may be required.

TRICO expects all suppliers to achieve and maintain a yellow rating status on their scorecards at minimum. In the event the scorecard is yellow consistently, the SUPPLIER is required to establish aggressive plans to drive improvement.

10. Health and Safety

10.1. Ethical Standards

Trico policy prohibits employees from accepting or giving gratuities or hospitality of any kind. This includes use of property or facilities, gift certificates or favors extended to Trico employees or their families. Our policy on gifts, entertainment and other gratuities emphasizes our determination to conduct business based on the superior value of the goods and services we purchase from our suppliers. It is the intent that each employee conduct Trico business with integrity. Our policy is global in scope and application and applies to all employees whether or not they are directly involved in purchasing activities.

10.2. Environmental Protection and Work Conditions

10.2.1. Environmental Management -The SUPPLIER commits himself to comply with all legal regulations regarding the environment, health and occupational safety, and to strive to avoid all negative effects on humans and environment by an adequate organization and realization of environmental protection in the company. For this, the implementation and further development of an Environmental Management System (EMS) according to ISO 14001 is preferred.

TRICO reserves the right to assess the level of implementation in the course of audits.

Trico is committed to ensuring that the people making our products and components or providing us with services are treated with dignity and respect. We believe that workers are more likely to be effective and productive when they are afforded decent working conditions. As such, Trico expects raw material suppliers to perform a verifiable site-level environmental and social sustainability assessment, subject to corrective action and make the results of such assessment available for review by Trico's Customer or Trico. Our alignment with suppliers on these principles is essential.

Trico views compliance with local laws as an unquestionable element of corporate responsibility and expects that suppliers be in compliance with ethics laws and regulations. In addition, we require suppliers to comply with certain minimum protections for all employees that may, in some instances, exceed standards set by local law. These protections are as follows:

- Child Labor: The supplier will not employ any person below the age of 15, unless this is part of a government-authorized job training or apprenticeship program that would be clearly beneficial to the persons participating.
- Forced Labor: The supplier will not use forced labor, regardless of its form.
- Physically Abusive Disciplinary Practices: The supplier will not tolerate physically abusive disciplinary practices.

10.3. Conflict Minerals

It is Trico policy to make reasonable efforts: a) to know, and to require each Trico supplier to disclose to the Company, the sources of Conflict Minerals use in its products: and b) to eliminate procurement, as soon as commercially practicable, of products containing Conflict Minerals obtained from sources that fund or support inhumane treatment in the Covered Countries (Democratic Republic of Congo (DRC) or an adjoining country). The term "conflict minerals" is defined as columbite-tantalite (coltan), cassiterite, gold, wolframite, tantalum, tin, tungsten and any other mineral or its derivatives determined by U.S. Secretary of State to be financing conflict in the DRC or an adjoin country.

Trico Suppliers are required to assist the Company to comply with the disclosure requirements of Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, and the rules of the U.S. Securities and Exchange Commission promulgated pursuant to that law, as well as any related laws and rules. The rules require manufacturers who file certain reports with the U.S. Securities and Exchange Commission to disclose whether the products they manufacture or contract to manufacture contain "conflict minerals necessary to the functionality or production" of those products, that directly or indirectly finance or benefit armed groups in the DRC or an adjoin country.

10.3.1. Supplier Base:

Trico will expect and require all of raw material suppliers to perform a verifiable site-level environmental and social sustainability assessment, subject to corrective action, and make the results of such assessments available for your review and / or Trico's review.

*Note: An assessment should include an on-site audit of environmental or social sustainability performance by as second or third party, or a systematic risk assessment against a standard or set of principles to determine risk based on conditions, controls, or other mitigating factors. Examples of standard or set of principles include those developed by the international Council on Mining and Metals(ICMM) and the initiative for Responsible Mining Assurance(IRMA).

10.3.2 Raw Material Supplier Base:

Trico expects you disclose / provide a list of all priority chemicals* present in the ingredient and raw materials supplied to Trico at a level greater than 100 ppm, whether intentionally added or not.

Note: a priority chemical is one that meets the criteria for classification as a carcinogen, mutagen, reproductive toxicant, or is persistent, bioacumulative, and toxic; or any chemical for which there is "Scientific evidence of probable serious effects to human health or the environment which give rise to an equivalent level of concern (Reach Title VII, Chapter 1, Article 57). Priority Chemical are identified on a case-by-case basis. Relevant criteria in the US EPA Safer Choice Program and Globally Harmonized System of Classification and Labeling of Chemicals may be used to identify scientific evidence of probable serious effects to human health and the environment from multiple agents or stressors.

11. Supplier Visits to Trico, Trico requests that suppliers direct all communications through our purchasing organization. An appointment can be made with your established purchasing contact. If the manufacturing operations will be visited, Plant management approval is required. Prospective suppliers are encouraged to provide literature and/or reports to introduce their company and products prior to the initial contact with purchasing. Visitors to Mexico must comply with Mexico Immigration, see below.

Note: Suppliers are not allowed to engage in any Labor activities without approval of Trico

11.1. Mexican Work Permits

Every supplier, customer or visitor, who is a non-resident of Mexico, is required to obtain a FMN (temporary work permit) or a FM3 (regular work permit) before entering Trico Components in Matamoros, Mexico. Visitors to the Matamoros Plant who do not have a FMN or FM3 will not be allowed access into Trico Componentes. Any supplier, customer or visitor working in Mexico without FMN or FM3 permit may be denied entry into Mexico, or, if caught could be fined, jailed, and/or deported by Mexican authorities.

12. Final Terms

Modifications and additions to this Agreement must be made in writing and approved by Resource Team.

If terms of this Agreement should be entirely or partially invalid, then the applicability of the remaining terms is not affected; in this case, the partners will agree on applicable terms that as closely as possible fulfill the commercial intent of the invalid terms. This also applies accordingly to possible omissions.

Appendix

Terms and Conditions Reference TSN website for latest version

Definitions refer to ISO 9000 and applicable IATF and Customer manuals

REVISION HISTORY:

REVISION	CHANGE DESCRIPTION	DATE
A	Initial Release	October 9, 2009
B	Update certification number in Section 1. Add section 8, 9, 10 Wording added in section 5.2.3	March 01, 2010
C	Wording added in section 5.5	November 16, 2010
D	Wording added in Scope, and Reference and attachments, Section 8 added to procedure	June 21, 2013
E	Wording added to section 7 Wording removed in section 1	January 07, 2014
F	Deletion of wording in section 5.4.1, Wording added to section 5.5.	February 12, 2014
G	Titles revised, Addition in References and Attachments, wording added in section 5.2.3, removal of wording in section 1	February 09, 2016
H	*Rewrite to Comply to IATF16949*	*August 17, 2017*

DISTRIBUTION:
Document Control, PQM

WRITTEN BY: Gabriel Flores

APPROVERS:
Vice President Trico Global Operations
Director of Purchasing NA
Materials Manager
Managing Director LATAM
Director of Texas
Director of Quality

B. Packaging / Label Specifications

SUPPLIER PACKAGING & LABELING MANUAL

Supplier responsibilities:

Design and develop packaging according to Trico specifications and current industry standards which ensures all products will be protected against any damage and contamination during transportation, handling and storage.

Use lean approach to ensure the packaging is easy ship to Trico and handle when parts are unpacked at the point of use.

Ensure the final packaging design and labeling for the product is approved by the Trico packaging engineer department.

Notify Trico Packaging Engineer Department when special circumstances prevent you from meeting trial or launch dates as provided by Trico.

Use materials which have minimal impact on the environment.

Submit complete packaging submission forms for review and approval.

Provide continuous improvement.

Comply with governmental & automotive industry regulations when changes occur which are related to packaging, labeling & shipping.

Trico responsibilities:

Recommend preferred containerization systems based on our manufacturing facilities' requirement for lean concepts.

Recommend alternate packaging when standardized or preferred systems will not work for shipping the product.

Work with supplier in a timely manner to ensure launch dates are met and on time.

Review & approve the containerization plan

Obtain approvals for Tier 2 suppliers for Trico which are authorized to Direct Ship products to our customers (see page 10).

Involve suppliers in continuous improvement programs.

Questions or need data information?

Trico Packaging Engineering & Materials Departments: (956) 544-0342

Matamoros Mexico phone (011) 52 868 811 2000

Trico Purchasing Department:
Brownsville, Texas (956) 544-2722
Rochester Hills, Michigan & (248) 371

Introduction

This guideline is intended for use by Trico suppliers of product/components. It outlines how to obtain approvals & implement packaging / labeling which will deliver parts / material to our production facility maintaining part quality and damage free packaging. It should also support Trico's philosophy in Lean Practices.

The manual outlines many basic requirements a supplier must adhere to in the development of a containerization plan. There are industry standards for cardboard, testing, standard containers, etc. which the supplier can utilize and which are not part of this manual. Trico's production team may modify adherence to these standards to implement lean manufacturing philosophy when necessary.

The use of these requirements and/or approvals of the supplier packaging by the Trico Packaging Engineering Department in no way relieves the supplier of responsibility for part quality. The standards should also be used to adequately quote the cost of the proper packaging to the purchasing department when quoting. Deviations from this manual must be approved by Trico Packaging Engineering.

General Guidelines

During the initial Request for Quote process from Trico Corporate Purchasing, the packaging material costs must be separate from the part cost and clearly defined in all quotations to Trico's Corporate Purchasing.

Any cost related negotiations will be handled by Trico Corporate Purchasing. Packaging Engineering will assist the supplier and Purchasing as necessary.

Price increases will NOT be granted to correct defective and/or non-conforming packaging that is found to be ineffective to protect the product. It will be the supplier's responsibility to fix at their cost.

Returnable systems must be cost justified considering system size requirements, freight, housekeeping and lean material handling/processing costs.

Trico will not pay for additional returnable containers that would support supplier safety stock or additional handling time at the supplier's location.

Quality Systems – Trico Supplier Network (TSN)

Trico Supplier Network (TSN) system is a common process within Trico to report and resolve problems with our suppliers. The process informs a supplier of a non-conformance (damaged product or issues related to packaging). The Trico Supplier Quality Engineer (SQE) follows up with the supplier to ensure the problem containment, root cause determination, corrective action, implementation process is completed. The TSN process closes when the SQE verifies the supplier's corrective action is effective.

If any approved label or packaging fails to meet these standards during production, Trico will issue a Quality Concern Report (QCR) against the supplier which may affect their supplier rating.

Lean Approach:

Right-sized packaging is crucial to the successful handling of the product during transportation and within Trico warehouses and production cells. It is important that carton/container sizes are used which are sized correctly for Trico's internal Kanban racks, production cell racks and pallet storage systems. Preferred (standard) sizes for cartons are defined in the carton & pallet requirements sections of this manual. Other factors to be considered are parts per carton, weight of carton, part replenishment, carton removal and plant safety & ergonomic concerns. From this review, a suitable carton, quantity & size can be determined.

Note: Bulk containers (larger pallet containers) will not be allowed to feed the production cells in Matamoros facility (this does not apply to raw materials like resins). Any deviation from this requirement must be approved by Trico Packaging Engineering.

Overview:

All Suppliers must complete the Supplier Component Packaging Material specification form for EACH part supplied to Trico. This Form must be filled out with all the requested information and specifications. Supplier will send it back to the Packaging Engineering Department in Matamoros facility by email or fax. Standard postal or express mailing will be used for final label review/approval of bar code scanning quality.
Trico Purchasing Agent will provide the Supplier Component Packaging Specification form at the Request for Quote stage. Technical review and approval will be required from Trico Products Corporation before any parts can be shipped.

A packaging trial shipment will be required for all parts supplied to Trico with PPAP.

Packaging Engineering will review the packaging concept and advise supplier of any necessary changes. If changes are necessary, it must be resubmitted for review/approval.

Trico approval does not relieve the supplier from their responsibilities to deliver material to the point of use in a production ready and damage free condition. This also applies to environment conditions encountered during material transit and handling.

Any requested changes made to packaging must be approved by the Packaging Engineering Department at the Matamoros facility prior to being implemented by a supplier.

Expendable packaging:
Suppliers are responsible for designing and implementing the expendable packaging. This includes the expendable packaging for the primary container, expendable dunnage used within expendable cartons. This would also apply to dunnage used in returnable containers if used and the required back-up expendable packaging in case returnable container systems are not available.

Cartons must be minimum double wall construction.

All cartons & dunnage should be made of materials that are easy to recycle.

Suppliers can receive assistance from their packaging material suppliers and from Trico if necessary.

NOTE: Cartons MUST be of sufficient strength to allow for proper protection of the part AND ALSO PROVIDE ENOUGH STRENGTH FOR DOUBLE STACKING OF PALLETS DURING SHIPPING. This is crucial for maximizing trailer space in order to keep shipping costs down.

For hand-handled containers, the containers and product gross weight combined must not exceed a maximum of 48 lb. (22 kg), but 40 lb. (18kg) is preferred.

For all mechanically handled containers, the gross weight must not exceed 2000 lb. (907 kg) maximum. If a load must be heavier than 2000 lb., it must be reviewed by Trico's packaging & materials department to ensure it can be safely handed internally.

Packaging materials shall protect part quality for a minimum of 30 days for Intra-continent shipments and minimum of 90 days for Inter-continent shipments. Use of rust preventative products must be defined by the supplier and approved by Trico. A Material Data Safety Sheet must be supplied along with the Supplier Packaging Specification form.

Returnable packaging:
If a returnable container program is implemented by Trico for a supplier, Trico will work with the supplier to provide a design that meets all requirements and ensuring part integrity during shipment. Container, pallet boxes & pallets should be used from the industry standard sizes. These are available from well know returnable container and pallet box suppliers.

If these have to be unique specialized design for the components, the Trico and supplier will decide responsibility for the packaging design.

Preferred returnable totes sizes are 32" X 15" X 8" and 24" X 15" X 08".
Preferred returnable pallet size is 48" X 45" footprint with 50" maximum height.

Production carton/container sizes:

Trico's typical product feed rack size is 24" (610mm) long by 16" (406mm) wide (distance between runners). The vertical clearance between racks is 10" (254mm) high.

Preferred carton sizes are:
24" X 15" X 9" (610mm X 381mm X 229mm) (outside dimensions)
16" X 15" X 9" (406mm X 381mm X 229mm) (outside dimensions)

Carton width standard is 15" (381mm). Carton length can vary, but not exceed 24" (610mm). Carton height 9" (229mm) maximum & 5" (127mm) minimum.

Other carton sizes are available which will fit the preferred pallet sizes. These sizes will optimize pallet utilization for shipping, but the supplier must work with Trico Packaging Engineering to ensure alternate sizes will be acceptable to production and materials departments. **See "Carton/Pallet Configurations" file on TSN website.**

Pallet Requirements

Pallets must provide 4-way fork entry and be of solid wood construction. A 3-1/2" (89 mm.) min opening clearance on the normal entry side. The openings on the stringer side must have an opening of 2-1/2" (64 mm) min. On block style pallet, the 3-1/2" (89 mm.) min opening clearance on all sides. Please consult internet websites on pallet construction & industry standards.

Pallets must not be smaller in length and width than the load. Cartons cannot overhang the pallet on any side. Maximum distance from edges of pallet to sides of the cartons should be no greater than 2" (53 mm). This facilitates adequate support for double stacking during shipping. All pallets should be able to support a 2000# load.

Supplies should select from the following footprints:
48" x 45" (1220 mm x 1143mm) (Preferred)
48" x 40" (1220 mm x 1017mm) (Preferred)
47" x 31" (1200mm x 800mm Euro) (Acceptable)
47" x 39" (1200mm x 1000mm Euro) (Acceptable)

Pallet height should be min 5.0" (127 mm) and not greater 5.5" (114mm).

Stinger style pallets:

Stringers sizes should be 1 1\8" wide X 3 1\2" tall (29 mm x 89 mm) minimum. Length is according to pallet stringer size.

Deck boards must be 1/2" (12.7mm) thick minimum or more if necessary to support the load. Enough deck boards must be used to ensure support of all cartons properly. Spaces between deck boards must not exceed 2" (50.8 mm).

A minimum of three bottom support boards must be used as per normal pallet construction methods and be minimum 1/2" (12.7mm) thick or thicker as necessary to support the load.

Block style pallets:
Block type pallets should have support blocks that fully support the deck boards and bottom boards and follow the same standards as the stringer style.

Overseas suppliers typically use pallets that are made to simulate the block style pallet using alternate wood products (engineered / manufactured wood) such as plywood due to solid wood products which are not readily available or cost prohibitive. These pallets must be designed to withstand the same loading and handling characteristics as a normal solid wood pallet. Particle board (compressed wood) cannot be used. The supplier must ensure suitable methods for construction that will survive overseas shipping & multiple movements by forklifts. The pallet must be capable of double stacking during shipping.

If a part size dictates the usage of a bulk container larger than our preferred pallet sizes, the supplier must obtain written approval for Trico Packaging Engineering and Materials Departments.

All pallets must be capable of being handled by a pallet floor jack.

All pallets must be marked properly & comply with international phyrosanitary guidelines regarding no manufactured wood products. These requirements provide guidance on the treatment and marking of coniferous and non-coniferous wooden packaging products. For information regarding the international guidelines, go to the International Phyrosanitary Portal at www.ippc.int/IPP. (See ISPM#15)

NOTE: Pallets for raw materials such as coils of steel, resins, etc. typically are recommended by the supplier and may not follow the pallet size & type requirements above. These must be reviewed and approved by the plant receiving the material.

Load containment methods:
Banding can be used to secure the cartons to the pallet. Banding must not be used on individual cartons. Only plastic banding is allowed which can be recycled. It should be placed so the bands will properly secure the load and not be damaged by forklifts.

Metal banding is not allowed except on raw material like coils of steel or if approved by Trico.

Stretch film/wrap is required to properly secure the load to the pallet. The wraps must include 3” (75mm) minimum of the pallet below the top surface of the deck boards.

NOTE: Master labels must be on the outside of the stretch wrap for cartons on a pallet and not on the individual cartons. Only the shipper/carton label should be on the carton.

Pallet load heights & stacking:
Maximum pallet height (cartons/containers plus pallet) cannot exceed 50” (1270 mm).

All pallets must be level layered (full layers). No pyramid stacking of cartons is allowed. Contact Trico buyers or Purchasing Agent if requirements are not coming to you for full layers only. The buyer can adjust the order quantity to be per layer and/or in multiples of each layer quantity.

Double stacked pallets should not exceed 100 in (2540 mm) for trailer loading. If using sea containers, please use the maximum container heights allowed.

Only like size pallets should be double stacked on each other during shipping.

Over the road trailers, sea container loading:
Container designs must provide for dynamic (in transit) loading of three times the static (in storage) load. Suitable non-stapled corner supports and top stacking frames may be necessary to meet this requirement. This is critical for double stacking to maximize cubing of shipping containers in order to minimize shipping costs.

Air freight shipments:
Individual cartons: If shipments have to be made via express carriers like UPS & Federal Express where pallets will not be used, special care must be used since single cartons will not be shipped on pallets and are subject to severe handling. They require more substantial packaging so the product and the cartons are protected. This may include, but be limited to, additional internal protection like bubble wrap or cellouse cushioning materials. Expanded polystyrene (Styrofoam) type products are not allowed. The product carton can also be placed into a larger carton with sufficient cushioning around the inner carton for ensure safe transport. Normal labeling would have to be on both cartons.

Product on pallets: When palletized cartons are shipped, it is important to stretch wrap (and band if necessary) the cartons securely to the pallet so the carriers ships the pallet intact.

The supplier is responsible for the safe arrival of the product to the Trico facility.

Recycling:
To facilitate the recycling of packaging materials, its identity must be known. There are numerous types of plastics used for automotive packaging which require a simple method of identification. Trico will require the SPI (Society of Plastics Industry) coding which can be easily found on their website. Packaging material must be marked with the appropriate SPI code  and the appropriate material number inside. All vacuum-formed and injection-molded plastic packaging material must be identified by the correct code. It is highly recommended that RPET (recycled PETE) is used when possible.

Hazardous Materials:

The supplier is responsible for assuring shipment of hazardous materials are in compliance with all government regulations or any other relevant international, federal, state, provincial or local requirement.

The supplier is responsible for informing Trico of any packaging that contains materials that may render the packaging "hazardous" as defined by the laws of the country or countries where the packaging is to be used. This information should be in the form of a notification to the supplier's purchasing contact that includes the Trico Part Number and the hazardous constituent of concern that is incorporated in the packaging. Approval for the transfer of ownership to the using plant of hazardous packaging will require the approval of the plant environmental engineering personnel based on the availability of suitable, economical disposal.

The shipping and receiving location's Materials Science, Safety & Environmental personnel must approve any additives on the parts or within the package for temporary corrosion inhibition prior to usage. E.g.: VCI paper, desiccant bags, etc.

Any corrosion inhibiting measure must be compatible with mating assemblies if the additive is to remain on the part.

The supplier is required to provide "Material Safety Data Sheets" to the shipping and receiving location's Safety / Environmental departments.

Direct Ship Suppliers:

Suppliers (Tier II) who are defined by Trico to direct ship to our customers will be responsible for assuring product and shipments to our customer to be damage free. Trico will assure that the supplier is approved to our customer. We will work with supplier to obtain packaging and labeling approvals. Customer complaints/rejections related to packaging and/or labeling will be resolved by the Tier II supplier with Trico support.

All components/assemblies must be correctly marked/identified with Country of Origin per customer specifications and governmental requirements. See section on Country of Origin on page 18.

Packaging submission & approval:

All suppliers are required to submit the **Supplier Component Packaging Materials Specifications form (FCE157) found on Trico TSN website** to the Trico Packaging Engineering Dept for approval. The supplier must submit the approved form to the Supplier Quality Engineer (SQE) with the product PPAP submission.

PPAP phase – Packaging Concept approval & labeling review:

1- Supplier to submit packaging/label submission form to Packaging Dept.
2- Trico will review this based on written data and photos/sketches provided.
3- Trico will approve or reject.
4- If rejected, supplier must revise and resubmit until approved.
5- When approved, supplier will have "Concept approval" only. Packaging Dept will send the signed concept approval form back to supplier. Supplier to submit with component PPAP package to SQE.
6- Supplier sends first production parts in concept approved packaging. In most cases for PPAP parts, there will not enough production parts available to review a full pallet which would be shipped via normal transportation methods. The supplier should still use the cartons that will be used per the approved form.
7- Trico reviews the concept intent packaging at PPAP.
8- If rejected due to issues related to packaging materials, the supplier must improve packaging and resubmit until corrections are approved.
9- Once final approval is completed, Trico will provide the "Ok for production" signed form to supplier and SQE. See production below.

Production phase – Final production packaging & labeling approval.

1- When normal production starts and palletized product is sent, Trico will review the first shipments and advise any issues.
2- If there are issues, then supplier has to improve the packaging until it is satisfactory.
3- Once fully approved, Trico will sign and send the final packaging approval to supplier.

NOTE: Suppliers submitting a PPAP packaging should have already quoted the packaging for the product using these packaging guidelines. If you did not, any cost issues that arise due to insufficient packaging will be the supplier's responsibility.

This packaging approval does not relieve supplier of part quality issue. Supplier is fully responsible to ensure that the packaging is sufficient to protect parts during handling and transportation to Trico facilities.

Identification and Shipping Labels

Supplier is responsible to ensure correct labeling is provided for all product. Contact Trico's Packaging Engineer Department @ 956-544-0342 if questions arise.

Any deviations must be reviewed and approved by the Packaging Engineering Department.

When the container size does not adequately provide enough room for the use of standard size shipping labels, contact Trico's Packaging Engineer Department in order to find direction on what will be acceptable.

Label Specifications:

Label specifications were developed using the AIAG Shipping/Parts Identification Label Standard (AIAG B-4, B-10 in their latest release) for barcode and format requirements. Please consult AIAG website for detailed information.

Suppliers are responsible to provide bar code labels that meet the specification of this manual and those of the print quality guide line in AIAG B-10 standard. Bar codes must pass ANSI standards for readability with a min "C" grade when received at any Trico facility. The data in the bar code must match the human readable, but will also contain the data identifier as described on page 13.

All production labels must be machine-printed per Trico standards. **HAND WRITTEN LABELS ARE NOT ACCEPTABLE.**

The preferred label size is 4.0" x 6.0" (102mm x 152mm) or 4.0" x 6.5" (102 mm x 165 mm), which should cover all conditions. Label requirements should be in accordance with the dimension shown in figures on pages 14, 15 & 16.

NOTE: when a carton height is less than 4" (102mm), the label can be reduced to a smaller size provided the quality of the barcode is maintained & must be approved prior to use.

The label must be white with black printing.

Pressure sensitive adhesive labels are required. Application must be wrinkle-free.

The part number, quantity, serial number, PO number & lot code/date of manufacture bar code symbols shall be a minimum of 0.4" (10 mm) high bold characters. The human readable shall be just above the bar code and be a minimum of 0.12" (3 mm) bold characters as shown on pages 14, 15 & 16.

Block titles: Part, quantity, supplier, serial, PO, lot number/date of manufacture numbers shall be a minimum of 0.09" (2 mm) bold letters. The data identifier associated with each title should appear directly below the title and be a minimum 0.09" (2 mm) standard letters as shown on pages 14, 15 & 16.

Data identifiers: the characters used to identify specific data in the barcode. Bar codes should be Code 3 or 9 (Code 39). The data identifier must include the bar code symbol readout as follows. The parentheses “(P)” are only for the human readable block title and should not be in the barcode data. Quiet zones for leading and trailing areas on the bar code must be 6.4 mm or greater.

(P) = Part Number: maximum length is 15 alphanumeric characters with data identifier. Bar code symbol should not exceed 5.5” (140mm). Contact Trico for a solution in case the bar code exceeds this length.

(Q) = Quantity shipped: maximum length 6 numeric characters. (Master & Shipper)

(V) = Supplier Number: maximum length 5 characters. (Master & Shipper)

(S) = Serial Number is (9) numeric characters. (Shipper Only)

(M) = Serial Number is (9) numeric characters. (Master Only)

(L) = Lot Code / Date of Manufacture: maximum length 6 alphanumeric characters. The data identifier is being utilized for the date of manufacture and must appear as “YYMMDD”. (Master & Shipper)

(K) = Purchase Order Number: maximum length 6 alphanumeric characters. (Master & Shipper)

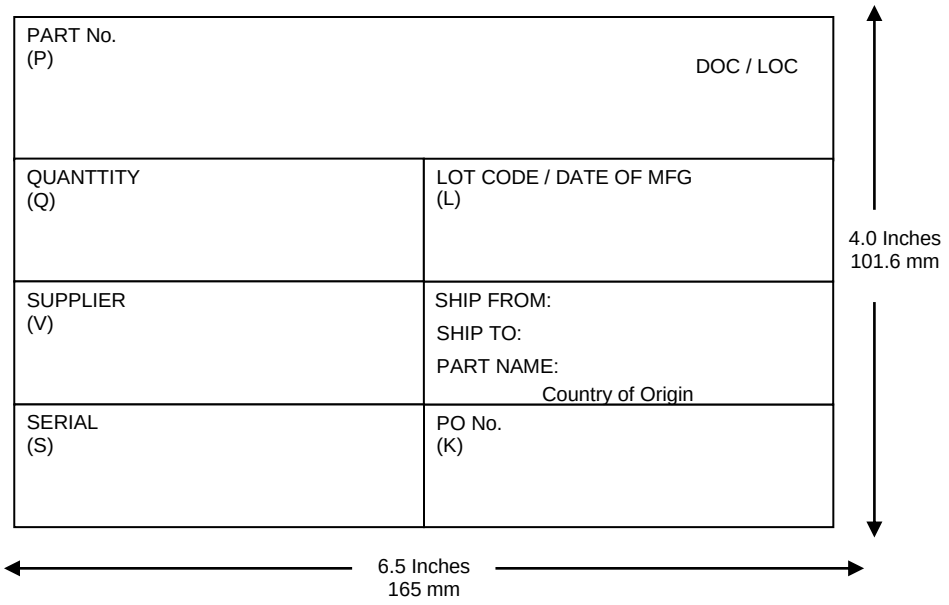
Serial number is a 9 digit randomly generated number which cannot repeat in 1 year. The supplier is responsible for generating this requirement.

A data identifier immediately follows the start character of the bar code symbol and is used to identify the information to follow; data identifier defines the nature data contained within the linear barcode.

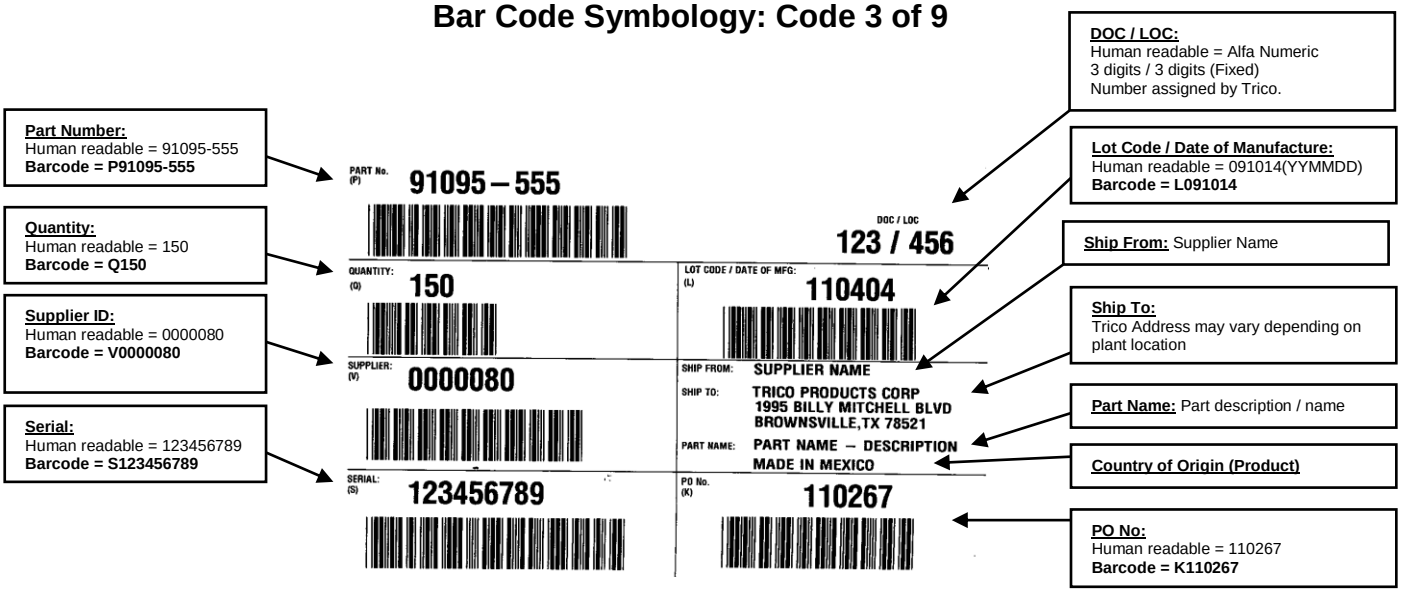
Certain descriptions like the serial number, lot number, ship date, date of manufacture, etc. may or may not suitable or coincide to describe what your company uses. Special cases may exist like having support hardware/software may not be economically feasible for some vendors. In both cases, contact the Trico Packaging Engineering Department and we will review on a case by case basis.

CARTON / SHIPPER LABEL – Figure 1

(Finished components label)
(Individual Carton)



Bar Code Symbology: Code 3 of 9



EXAMPLES ONLY & NOT TO SCALE

Note: Supplier Number & Purchase Order number is assigned by Trico Purchasing Dept.
DOC / LOC numbers are assigned by Trico Materials Dept.

MASTER / PALLET LABEL – Figure 2

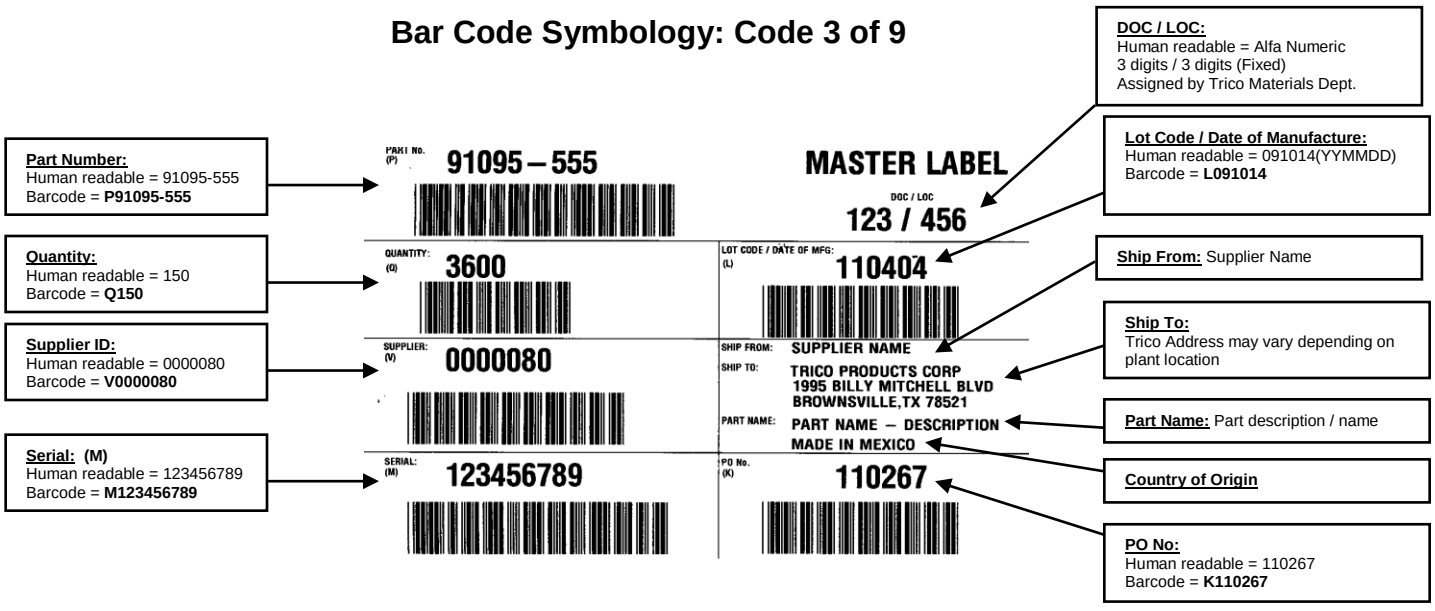
(Finished components label)
(Pallet Load)

PART No. (P)	**MASTER LABEL** DOC / LOC
QUANTTITY (Q)	LOTE CODE / DATE OF MFG (L)
SUPPLIER (V)	SHIP FROM: SHIP TO: PART NAME: COUNTRY OR ORIGIN
Serial (M)	PO No. (K)

4.0 Inches
101.6 mm

6.5 Inches
165 mm

Bar Code Symbology: Code 3 of 9

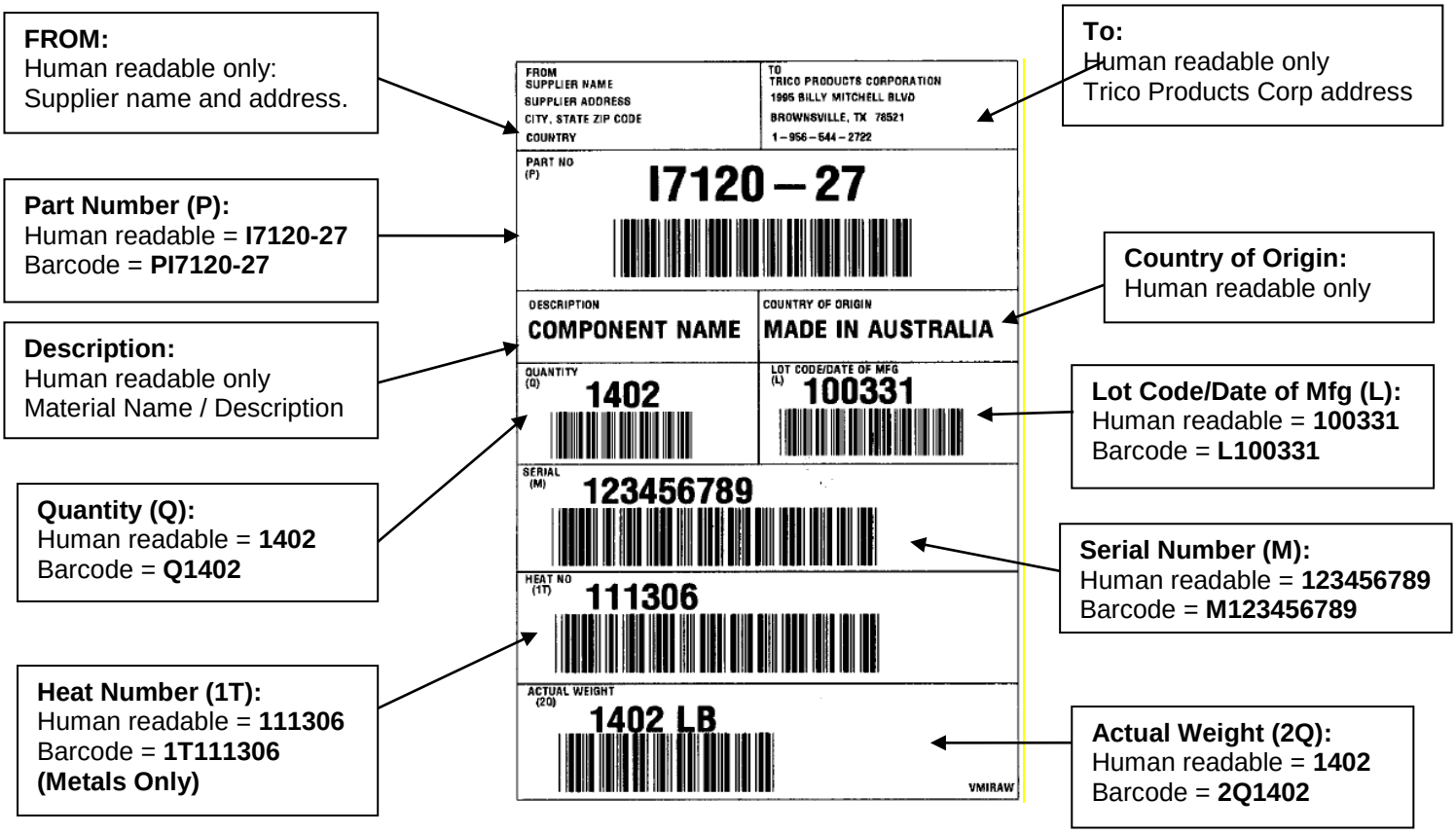


EXAMPLES ONLY & NOT TO SCALE

Note: Supplier Number & Purchase Order number are assigned by Trico Purchasing Dept.
DOC / LOC numbers are assigned by Trico Materials Dept.

RAW MATERIAL LABEL

(Used ONLY for Steel Coils, Resins, etc used to make components)



General Label Criteria:

- Label Size: 4” x 6” or 4” x 6.5” (“Vertical” Raw Material / “Horizontal” Shipper - Master)
- Bar codes must be Code 3 OF 9
- Part number - Trico Part Number (Human Readable & Bar Code with Data Identifier “P”)
- Quantity – Quantity per carton (Human readable & Bar Code with Data Identifier “Q”)
- Supplier – Trico Supplier Code (Human readable)
- PO No – Purchase Order Number (Human Readable & Bar Code with Data Identifier “K “)
- Serial – Serial number (Human Readable & Bar Code with Data Identifier “M”)
- Heat No – Heat Number for metals (Human Readable & Bar Code with Data Identifier “1T”)
- Actual weight – Total weight of the skid (Human Readable & Bar Code with Data Identifier “2Q”)
- Human Readable Text Height shall be 5 mm minimum, except for the Part Description & Date of Manufacturer shall be 2mm minimum.
- Barcode Heights shall be 10 mm minimum
- Quite Zones, Leading and trailing shall be at 6.4 mm (9.5 mm preferred)
- DOC / LOC have space for 2 sets of 3 characters separated by a “/” (forward slash). The numbers will be assigned by Trico. Contact the Materials Department for these numbers.

Mixed Load Labels

Trico prefers full pallets with only one part number on it. If necessary, mixed pallets of product can be shipped ONLY if this instruction is followed:

Cartons for different part number must be the same size for correct palletization.
No more than 6 part number per pallet. Pallet should full layer, level loaded only. DO NOT PYRAMID LOAD PALLETS.

Attach 4 - 8 ½" X 11" plain white paper or adhesive label with the words "MIXED LOAD" printed in black, bold, clear letters. Securely fasten 1 label on each side of the pallet with clear tape on the outside of the stretch wrap (if applicable).

Two master labels per part number is required for each part number on the pallet. These must be placed on adjacent sides of the pallet on the outside of the stretch wrap.

NOTE: Master label CANNOT be place directly on individual cartons that have a shipper label. The individual carton labels must identify the carton contents. The master defines the quantity of the total parts on the pallet for each part number.

Master & Shipper Label Placement

The label printing should be parallel to the base of the pallet or container.

Labels should be placed on the end panel and on the adjacent right side of the carton and/or pallet.

Labels on returnable totes will be placed on opposite ends or areas intended for labels.

Master labels must be on the outside of the stretch wrap and not on single cartons with a shipper label.

Country of Origin identification

The Country of Origin (COO) must appear on all labels (& product where required) that identify the product. If the actual product has COO information printed on it, it must also match all other labeling on the cartons, pallets, bills of lading, etc. Preferred location is in the supplier free area along the bottom edge of lower left hand corner. It should be a minimum of 0.1"(2.54 mm) in height. Use "Made in XY". The 2 letter country code abbreviations are standardized and can be found in the AIAG B-10 guidelines. It is also acceptable to spell out the country name. Note that GM Service requires that the country name be fully spelled out.

IMPORTANT: All COO identifications/paperwork must match each other to avoid Import/Export and /or Customs issues. Consult your Import/Export expert and/or Customs broker for more information. Supplier will supply COO certification to Trico Purchasing & Import/Export departments.

NOTE: GM Service (GMCCA) requires that parts shipped in bulk must be identified with the country of origin on each individual part. See GMCCA specifications on the GM Supplier website for details.

All COO identification must conform to U.S. Federal Regulations.

Label Submittal Process (for review & approval)

1) The supplier will send 2 actual labels each of the carton (container) & pallet (master) labels to the Trico Supplier Packaging Engineering Department for review & testing. Electronic copies of labels can be sent for preliminary review, but original labels must be sent in for final review and approval of actual bar code quality (ANSI standards) & the data it contains (see note A & B below)

   Send labels to: Trico Products
   1995 Billy Mitchell Blvd.
   Brownsville, Texas 78521
   Attention Packaging Engineering
   Matamoros Facility

NOTE A: Sending labels for approval is at supplier's expense. **Do not send collect.**

2) If label does not meet the requirements, the Trico Packaging Engineer will advise of changes required & supplier must re-submit until approval is obtained.

3) If acceptable, the Trico Packaging Engineer will approve the labels and notify the supplier and the Trico Supplier Quality Engineer.

NOTE B: If your company supplies multiple parts (components) to Trico, ONLY ONE SET of labels should be submitted for approval. DO NOT submit labels for each part number you supply. This base label approval will apply for all the other parts you supply to Trico. It is the suppliers responsibility to ensure that all labels for all part numbers are "equal to or greater than" the quality of the approved base labels.

Supplier must ensure that label quality is maintained throughout the life of the program. Non-compliance issues will cause a supplier Quality Rejection to be issued.

Preprinted cartons: Trico prefers not to have any preprinted information on the actual cartons. Some suppliers preprint cartons with their corporate name, logos and/or company mottos is acceptable, but any preprinted information on your cartons which will conflict with any data which appears on the label is not allowed. It is best that only the printed labels are placed on the carton & pallet loads as specified.

The carton/cardboard makers certification symbol is required to printed by the carton supplier on the bottom panel per industry standards.

If any approved label or packaging fails to meet the standards during production, Trico can issue a Quality Concern against the supplier which may affect their supplier rating.

DATE	REVISION HISTORY (controlled by revision date)

December 22, 2010 Initial Release.

April 18, 2011 – Added DOC / LOC requirement for labeling and minor updates.
July 22, 2011 – Added Country of Origin requirements for GM Service & U.S. Federal Regulations to Country of Origin section on page 18 and Direct Ship Suppliers section on page 10.

C. Supplier Approval Process

Supplier Profile

TRICO®

1995 Billy Mitchell Blvd. Brownsville, TX 78521
phone: (956) 544-2722

SUPPLIER PROFILE

Organization

Company Name:	
Street Address:	
City:	
State:	
Phone:	
Fax:	
Website:	

General Information/Facilities

Type product of services being evaluated:	
Experience with product/service?	
Building Construction date:	
Square Feet / Utilization:	
Utilization (5 year plan):	
Equipment Condition:	

(Attach equipment listing or brochure)

Business Organization

Individual: ☐ Partnership: ☐ Corp: ☐

If not a corporation, is name of partnership legally registered? Yes: ☐ No: ☐

MBE? ☐ WBE? ☐ VBE? ☐

Subsidiary of:

Date Established:

Financial statement or annual report: D&B Score:

☐ Attached ☐ To be forwarded

Number of Plants and Locations:

CEO:	
Phone:	
E-Mail:	
CFO:	
Phone:	
E-Mail:	
VP Sales:	
Phone:	
E-Mail:	
VP Oper:	
Phone:	
E-Mail:	

Is there any pending litigation against the business? ☐

If yes, explain:

Do you anticipate a change in ownership in the next three years? ☐

If yes, explain:

Contacts:

Phone	
E-Mail:	

EMERGENCY 24/7 Contacts:

Name/Title:	
Phone:	
E-Mail:	

TRICO

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SUPPLIER PROFILE

Personnel

No. of employees

Administration : Direct: Indirect:

Number of shifts being worked Hrs/Shift

Average employee age:

Plant: Labor Rate:

Employee Turnover rate:

Plant:

Organizational Chart

Attached To be forwarded

Labor relations:

Union Affiliation:

Length of Contract:

Expiration Date:

History of strikes:

Are you in compliance with EEOC Regulations ?

Yes: No:

Language capability:

Sales

Please list three years of sales and current year forecast:

Yr/Sales:

Yr/Sales:

Yr/Sales:

Yr/Sales:

List the company's five largest customers and percent of total sales.

1 %

2 %

3 %

4 %

5 %

What is the company's current manufacturing workload as a percentage of total capacity?

Current Operating Capacity:

What percentage of sales is automotive? %

Engineering Capabilities

Engineering Staff

Is Engineering support on site, if not, where

Plant Support:

Location:

Product Engineering:

Location:

Research and Development:

Location:

Future Plans for Research and Development:

CAD/CAE capability What system?

Testing capabilities for products quoted?

Tooling

Do you design and fabricate customer tooling in-house?

Do you maintain and repair customer tooling?

What is your policy on tooling replacement repair costs?

Do you maintain back up tooling?

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SUPPLIER PROFILE

Quality Organization

ISO/IATF is the standard adopted by Trico. Suppliers are expected to establish and maintain a quality system based on these international standards. Suppliers are responsible for the quality of parts shipped to Trico. This includes conformance of raw materials as well as meeting specifications for dimensions, function, cleanliness, and packaging with the obligation to set a zero defect goal and to continuously improve performance. Please include a copy of your quality policy.

Is the quality control function a separate and distinct part of your organization?

Quality control reports to:

Customer returns as percent of: sales In House Scrap Rate

Are there written procedures for control of operations and function, and are these being adhered to?

Are up-to-date drawings and specifications maintained?

Is there a system of change control?

Quality Manager name:

Two backup contact s for Quality issues (in order):

Are you ISO/IATF certified? Yes: No: Date of registration: (Attach certificate)

If no, target date for registration:

Number of personnel trained in:

8D FMEA APQP SPC Auditing(ISO or IATF)

Service / Technology

EDI Capability Yes: No: If no, implementation date:

Bar-Coding capability: Yes: No: If no, implementation date:

What is normal level of raw material inventory?

(Average days of finished good inventory on hand)

What is your on time delivery percentage for production and service parts for the last two years?

Do you export product? If so, list countries:

Are there any plant shutdowns? How long?

Does supplier currently have stocking / consignment programs with other companies?

Are you C-TPAT certified? If not, what plans are in place?

This includes applicable foreign regulatory requirements e.g. product certification.

Does this product require special handling or shipping care?

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SUPPLIER PROFILE

General Supplier Awareness

Trico Products is a worldwide leader in the development and manufacture of integrated wiper systems

Trico Supplier Network - https://supplier.tricoproducts.com The Trico Supplier Network (TSN) encompasses several business processes including RFQ's, SREA's, Corrective Actions, Performance Ratings, and an FTP site.

You will find the latest versions of Trico's Terms & Conditions and Supplier Guide on TSN.

Does your company understand the application and intended end use of the part/material?

Does your company understand the quality levels Trico Products expects?

Does your company understand that all material lots must include a copy of the current material certification?

Does your company understand the Trico Receivingt Inspection procedures and techniques?

Does your company use a "third party" subcontractor for any process regarding Trico requirements? Is there a system to assure Quality control, capability and consistency from third parties?

Due Diligence

Do you have a company code of conduct that specifically addresses corporate responsibility in such areas as Basic Human Rights, Forced/Comnpulsory Labor, Child Labor, Discrimination and Harassment, Freedom of Association, Health & Safety, Compensation, and Working Hours including overtime?

Does your company have a contigency plan to protect Trico from shortages in case of machine failure, rejections, plant interruptions, labor interruptions, etc?

Do you know the location of 100% of the supplier facilities that provide goods or services to your company?

Does your company have a written code or policy in place that addresses corruption, including bribery, excessive gift giving, extortion, or embezzlement?

Is diversity (as indicated by gender, age, group, ethnicity, geographic origin, etc) reflected in your company's governance body and employee breakdown?

Does your company have a health & safety management system at a facility level that documents and records the needed regulatory compliance issues and confroms to company and customer requirements?

Does your company have a process for the collectiona and reporting of data related to the use Conflict Minerals in your supply chain?

Training

Does your company provide environmental training to your employees?

Does your company provide periodic on-going Corporate Compliance & Ethics training and communications to your employees?

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phone: (956) 544-2722

SUPPLIER PROFILE

Does your company provide diversity training?

Does your company promote understanding of health and safety matters through regular training and educational oportunities for employees, including new hires?

Other

Name and Title of person submitting this form:

Date:

Attach signed copy of the Trico Supplier Manual and Purchase Order Terms & Conditions.

E-mail to:

Quality / Risk Assessment

SUPPLIER QUALITY / RISK ASSESSMENT SUMMARY

SUPPLIER SITE NAME:	
SUPPLIER SITE CODE (IF AVAILABLE):	
SUPPLIER ADDRESS:	
SURVEY CARRIED OUT BY:	
Title:	
Date:	
COMMODITY REVIEWED:	
Customer / Platform quoted:	
Customer desination location:	
OVERALL SUPPLIER RATING:	
NUMBER OF RED SECTIONS:	
NUMBER OF YELLOW SECTIONS:	
NUMBER OF GREEN SECTIONS:	
Comments:	

***ALL RED OR YELLOW ITEMS REQUIRE AN ACTION PLAN WITH DATES AND TIMING.**

Follow up Date:	

Overall Scoring:	**Green = All sections green**
	Yellow = No more than 1 yellow section and no red sections
	Red = 2 yellow sections or 1 red section
Section Scoring:	**Green = No more than 1 yellow question, no red questions**
	Yellow = 2 yellow questions or 1 red question
	Red = 3 or more yellow questions or 2 red questions, or 1 red and 2 yellow questions

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
IA.1		The Supplier's quality system is third party certified to the ISO/IATF quality standard. (Attach copy of current certification to end of assessment)	GREEN - Certified to ISO/IATF standards YELLOW - Currently ISO9001 or TS certified with ISO/IATF certification planned before Sept 2018. RED - Will not be ISO/IATF certified by Sept 2018	Copy of official certificate, showing date and scope of registration or action plan. List any major non conformances in the most recent third party surveillance audit.			Copy of official certificate, showing date and scope of registration.
IA.2		The Supplier's environmental system is third party certified to the ISO 14001 environmental standard.	GREEN - Certified to ISO 14001 YELLOW - ISO certification planned or in progress. RED - Does not plan to be ISO certified.	Copy of official certificate, showing date and scope of registration or action plan.			Copy of official certificate, showing date and scope of registration.
IA.3		The Supplier operates a QOS continuous improvement process that is reviewed at a regular basis with Supplier's management team including Manufacturing, Quality, Engineering and Human Resources personnel. QOS metrics include lean metrics such as Overall Equipment Effectiveness, First Time Thru, Dock to Stock, customer's metrics, and risk analysis. Documents exist showing evidence of follow-up actions and closure.	GREEN - A QOS is in place with internal and customer metrics reviewed by the plant's management team on a regular basis. There are assignments and follow up actions documented with closure and trend improvements. The QOS metrics drive the plant towards improvement. Special processes are compliant with applicable AIAG special process assessments (e.g. CQI-9). YELLOW - A QOS and Risk Assessment is in place with internal metrics only reviewed by the plant's management team on a regular basis. There are assignments and follow up actions documented with closure and trend improvements. RED - There is no standing review process of internal metrics. A datacard may be circulated, but there are no assignments and follow-up actions being tracked.	Latest QOS package. Copy of relevent AIAG special process assessments: CQI-9 Heat Treat System Assessment, CQI-11 Plating System Assessment, CQI-12 Coating System Assessment, CQI15 Welding System Assessment, CQI-17 Soldering System Assessment, CQI-23 Molding System Assessment			List of QOS measurables, with full details of one measurable, showing analysis, prioritization method actions taken, and results over time.
IA.4		The supplier has established a process to lessen the impact of negative effects of risk including: a. determing potential nonconformities and their causes; b. evaluating the need for action to prevent occurence of nonconformities; c. determining and implementing action needed; d. documented information and action taken; e. reviewing the effectiveneness of the preventive action taken; f. utilizing lessons learned to prevent recurrence in similar processes.	Risk analysis addresses risks and opportunities. Preventative action to eliminate causes of potential non-conformities in order to prevent re-occurence. Preventive actions shall be appropriate to the severity of the potential issues.	Risk Analysis documentation includes at minimum lessons learned from product recalls, product audits, field returns and repairs, complaints, scrap, and rework.			Documented process for Risk analysis with preventative action to eliminate causes of potential non-conformities in order to prevent re-occurence.
IA.5		The Supplier's internal and customer metrics show that the supplier has been successful in striving for a zero defect methodology.	GREEN - The metrics show continuous improvement. Data indicates the Supplier is above average in quality metrics. YELLOW - The metrics show continuous improvement. Data indicates the Supplier is below average in quality metrics. RED - The metrics do NOT show continuous improvement OR, there is no data.	Latest QOS package and current manufacturing floor documentation (e.g., trend, pareto and paynter charts).			Full descriptions of recently occurring issue, 3 Samples of the 8D
IA.6		The Suppliers quality manual and procedures are updated as needed to drive continual improvements in the Suppliers quality systems and reviewed by Supplier's management.	GREEN - Supplier reviews on an annual basis, the policies, procedures, and work instructions to ensure they are up to date, including customer specific requirements. YELLOW - Supplier reviews on an as needed basis, the policies, procedures, and work instructions to ensure they are up to date, including customer specific requirements. RED - Supplier's quality manual and procedures does not include customer specific requirements OR manual and procedures are not reviewed and updated.	Latest version of the supplier's quality manual.			
IA.7		The Supplier does not have repeat issues identified in internal audits.	GREEN - Records exist of past three internal audits with no repeat issues. Identified issues either have closure that addressed root cause of non-conformance, or work plans exist to reach closure. YELLOW - Repeats have occurred, but work plans or closure documents appear robust to prevent further reoccurrence. RED - Repeats have occurred and documents do not appear to show robust actions to prevent further reoccurrence.	Log of issues found during the last three internal audits with appropriate corrective actions or work plan defined for each issue.			Last 3 years Audit summary

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
I.A.8		The Supplier can demonstrate roles and responsibilities for achievement of annual quality targets and new product targets.	GREEN - The quality organization, responsibilities and roles are clear. Responsibilities for annual quality target achievement are clear. The person in charge of new product quality for each project or customer is clear. The supplier has clearly defined and appropriate metrics for monitoring performance. YELLOW - Evidence is not available to show that one of the above requirements is met. RED - Evidence is not available to show that two or more of the above requirements are met	Quality activity organization chart showing reporting relationships for both current and future model parts. Detailed information that defines the roles, responsibilities and objectives for each position within the quality activity. Lessons learned process includes launch issues.			
I.A.9		The Supplier has a documented process to identify, update and communicate internal expectations, objectives and requirements within their organization including the plant floor personnel.	GREEN - Evidence of communication to the plant floor of internal and customer metrics and status. Data shows improving trends and it is being reported at or below established goals. The supplier has regular management review meetings. YELLOW - Evidence of communication to the plant floor of internal and customer metrics and status. Data shows improving trends although it is being reported above established goals and work plans exist identifying actions to reach or exceed established goals. RED - No evidence of communication of internal metrics and customer expectations to the plant floor personnel.	Data (e.g., trend, pareto and Paynter charts) available at quality work stations on the plant floor.			
I.A.10		Safety	The workplace is properly organized (e.g. 5S, lean, ergonomic). Personal safety equipment is provided.	Record of any major health and safety recordables within the last five years.			
B		Technical Capability					
I.B.1		The Supplier demonstrates production experience for automotive industry with the part(s) or commodity being considered at volume levels similar to the proposed sourcing.	GREEN - Supplier has experience manufacturing similar product with existing product and process technology. Supplier has all the necessary machinery, tooling, and equipment for product realization. Minimum of 5 years and multiple programs at similar volumes. Run at Rate data in APQP or equivalent packages shows solid launches at acceptable rates. YELLOW - Minimum of 2 years or only 1 program at similar volumes, or only experiences for the other industry. Run at Rate data in APQP or equivalent packages shows solid launches at acceptable rates. RED - No programs at similar volumes or APQP or equivalent packages showing significant launch issues in meeting rate requirements on other programs.	Program name, part, MY, volume, OEE, Scorecard data, APQP sheets, and PSW Package of 3 prior programs produced at supplier facility with similar volume requirements and of similar complexity. List and potential risk due to impelementation of new product or process technology.			Description of similar parts and production history for each commodity under consideration
I.B.2		The Supplier's current processes can manufacture the part(s) or commodities being considered.	GREEN - All processes that would be required are already in use by the supplier on site. YELLOW - New processes would be required that the supplier has in-house knowledge of and are similar to the processes used by the supplier today. RED - New processes would be required that the supplier does not have in-house knowledge of and are not similar to the processes used by the supplier today.	Process flow, control plan, design record, tooling, and facilities (equipment) listing of 3 similar parts produced. Proposed process flow and control plan for new potential sourced part.			Description of improvements or developments required in order to produce (company name) part(s) being considered including timing to achieve the improvement
I.B.3		The Supplier has product development and manufacturing engineers on site with appropriate experience levels to handle this sourcing.	GREEN - Product development and manufacturing engineers are on site. Resources are available for calibration. YELLOW - Product development and manufacturing engineers are not on site but available at a corporate level. RED - Product development or manufacturing engineers are not identified.	Org Chart and accompanying R&Rs. Skills matrix or resumes with TOS for applicable resources. The supplier can provide prompt technical support at the organization when needed.			Description of in-house capability, description of what is outsourced, information on subcontractors to include capabilities, length/type of association with supplier
I.B.4		The Supplier has access to tooling development in-house.	GREEN - Tooling engineers are on site. The supplier maintains and repairs tooling in-house. The supplier has internal packaging design capability. YELLOW - Tooling engineers are not on site but available at a corporate level. RED - Tooling engineers are not identified.	Tool room Review. Org Chart with Tooling engineers identified. Timeline with projected versus actual of 3 prior similar jobs. Are there knowledgable resources available to design tools and gauges in house? Training record of resources. Percentage of in house vs outsourced tooling fabrication. Percentage of in house vs outsourced tool maintance and repair.			List of tool room equipment

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
I.B.5		The Supplier has a tool management system for storage, recovery, and design modification tracking.	GREEN - The tool management system includes customer asset numbers and ownership, location, repair, and disposal records. YELLOW - The tool management system tracks only by Supplier asset number. RED - There is no tool management system/records.	Review tool management systems/records for inclusion of customer asset numbers, ownership, location, repair, and disposal records. Spot check tools for tool tags with approporiate asset numbers.			
I.B.6		The Supplier understands and has completed AIAG or equivalent requirements on more than one program.	GREEN - AIAG or equivalent documents exist and are complete. YELLOW - AIAG or equivalent documents are not complete. RED - Supplier is not familiar with AIAG or equivalent documents.	Full PPAPs for 3 prior similar projects			3 samples of PPAPs
I.B.7		The Supplier shall have testing capability to perform PV, functional and durability, and in-process testing.	GREEN - Test facilities are on-site with trained personnel to perform key testing functions. Non-critical tests outsourced if appropriate. YELLOW - All testing controlled by the supplier with some key tests performed off-site. RED - Testing is off-site and subject to delays due to capacity constraints at test location.	List of outside test resources and sample of prior testing. Supplier's facility accreditation. List of ES testing currently performed versus proposed in sourcing. Test schedules and performance to schedule and facility review.			
I.B.8		The Supplier has laboratory/metrology services available.	GREEN - Supplier has a defined laboratory scope that includes the capability to perform the required inspection, test, or calibration. YELLOW - Services are available at the corporate level or are contracted. RED - Service availability is unknown.	Facilities review. List of outside resources. List of all available in-house gauging and test equipment. Accreditation to ISO/IEC 17025. Review floor gauging for calibration. Review master calibration list. Gauge Room Supervisor resume.			List of metrology Equipment
I.B.9		When the supplier provides software or automotive products with imbedded software, the supplier has implemented a process for software quality assurance of the product.	GREEN - Documented software development capability self assessment is completed and retained. RED - There is no process for quality assurance in place.	A software development assessment methodology shall be utilized to assess the supplier's software development process. Using prioritization based on risk and potential impact to the customer, the supplier shall retain documented information of a software development capability self assessment.			
I.B.10		The supplier's prototype processes represent production processes and yield production representative parts. The Supplier uses the latest methods and tooling practices for prototype part production. The supplier has prototype fabrication capability in house.	GREEN - Supplier's prototypes use processes that are equal to or model production processes. The supplier is developing the most efficient prototyping methods either internally or with a partner source. YELLOW - Supplier's prototype parts are production representative, but process is not. The supplier is generally using the most efficient prototyping methods, but is not actively pursue benchmark levels of efficiency. RED - Suppliers prototype methods do not yield production representative parts. Methods are outdated, inefficient or known to produce quality or timing issues.	Process review. Prototype timing and delivery information. Evaluation evidence of new or competing methods. PIST/PIPC data from similar products/processes. Comparison of Prototype Control Plan with Production Control Plan.			
C		Management Capability					
I.C.1		The Supplier has an organization chart that identifies key personnel, accountabilities and responsibilities. There is stability within the organization.	GREEN - Organization chart shows who is responsible for what and lines of accountability. Support staff average time on the job is at least 2 years. Skills and competency requirements are identified. YELLOW - Organization chart shows who is responsible for what and lines of accountability. Average time on the job is at least 1 year, but less than 2 years. RED - Organization chart does not show who is responsible for what and lines of accountability OR average time on the job is less than 1 year.	Copy of organization chart, written roles and responsibilities, average time in position data.	f		Copy of organization chart
I.C.2		The Supplier will have a clearly defined decision maker for each shift of operation that is responsible for all areas of the plant for that shift.	GREEN - There is a person on site for each shift who has ultimate decision authority over the operations for that shift. RED - There is a person off site responsible for each shift OR there is no clear definition of the ultimate decision maker for each shift.	Written issue escalation process with roles and responsibilities calling out the decision maker.			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
I.C.3		The Supplier tracks absenteeism and reviews on a daily basis. There is an absenteeism planning/management program. (Reaction to daily absenteeism?)	GREEN - There is a process in place to monitor absenteeism daily and reach target either thru incentive or disciplinary action. There is a plan in place to cover any absenteeism. YELLOW - Absenteeism is monitored but not dealt with as needed. RED - Absenteeism is not tracked.	Absenteeism metric with actions both past, present, and future.			
I.C.4		The supplier has a business continuity plan in place in the event of disaster. The supplier has identified and evaluated internal and external risks to all manufacturing processes and infrastructure equipment essential to maintain production output and to ensure that customer requirements are met.	GREEN - There is an effective contingency plan in place including a notification process to the customer and other interested parties for the extent and duration of any situation impacting customer operations. There is documentation that the contingency plan has been tested periodically for effectiveness. The contingency plan includes provisions to validate that the manufactured product continues to meet customer specifications after the re-start of production following an emergency in which production was stopped and if the refular shutdown processes were not followed. RED - Supplier does not have a contingency plan.	Review contingency plan for continuity of supply in the event of any of the following: key equipment failures, interruption from externally provided products, processes, and services; recurring natural disasters; fire; utility interruptions; labor shortages; or infrastructure disruptions. Any revisions to the contingency plan including the person(s) who authorized the changes are documented and retained.			Defined contingency plans according to risk and impact to the customer. Contingency plan reviews using a multidisciplinary team including top management and conducted at minimum annually.
D		Program Management					
I.D.1		The Supplier has a process for change management control including design changes, process changes and volume changes including interface with supply chain.	GREEN - There is a documented change control process including proper customer notification and approval per customer requirements and a change manager. Process includes quality document updates with signoffs and prove out plans for the change. YELLOW - There is a documented change control process and a change manager but IS missing proper customer notification and approval per customer requirements. Process includes quality document updates with signoffs and prove out plans for the change. RED - A change control manager does not exist OR quality documents are NOT updated properly, OR there is NO prove out plan for change	Documentation of process and a previously completed change package. The supplier has an end of life management process with controlled ramp down to protect customer quality and schedules. The supplier has an effective process for capturing and displaying lessons learned.			
I.D.2		The Supplier shall develop and maintain open issue tracking sheets and review with the program team on a regular basis. Support the OEM and (company name) change control as well as the APQP review process.	GREEN - Open issues tracking in place, current and effective in resolving issues. YELLOW - Open issues tracking is undisciplined and results in slips or extended issue resolution time. RED - No regular open issues decks are normally maintained or tracked.	Specific project related issue tracking matrix, or open issues sheets that identify specific issues, action, responsibilities, due dates, and final disposition.			Sample project matrix
E		Production Capacity Planning					
I.E.1		The Supplier has floor space capacity to produce the part(s) or commodity being considered at volume levels compatible with the proposed sourcing.	GREEN - Floor space will NOT have to be increased and all major equipment is currently installed and capable of running product today OR supplier has a growth history that requires new equipment and floor space but HAS shown successful launches with expansion in the past. Supplier IS able to identify personnel that would be dedicated to managing the growth down to the plant floor level. YELLOW - Floor space would HAVE to be increased or all major equipment is not currently installed and capable of running product today. Supplier does NOT have a growth history that required new equipment and floor space. Supplier IS able to identify personnel that would be dedicated to managing the growth down to the plant floor level. RED - Floor space would HAVE to be increased or all major equipment is not currently installed and capable of running product today. Supplier does NOT have a growth history that required new equipment and floor space. Supplier is NOT able to identify personnel that would be dedicated to managing the growth down to the plant floor level.	Layout of plant showing available open space, list of equipment required for new / transfer business and layout showing where equipment will be placed. Does supplier have detailed plan on how new equipment will be introduced into facility. Capacity is determined appropriately, including forecast of new business. The supplier has a formal capacity plan and analysis methodology that is used and maintained.			Description of similar parts with production volumes

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		**Business Management**					
A		**Quality System Capability**					
I.E.2		The supplier's weekly production plan is not over committed.C36	GREEN - Current production requirements can be met during scheduled production hours. YELLOW - Current production requirements can be met during scheduled production hours with occasional overtime required. RED - Current production requirements can not be met during scheduled production hours with occasional overtime required.	Work schedules verifying overtime is not required to meet current production volume, if overtime is noted, explanation is required. Maintenance, part shortage, increased volume.			Description of production master schedule, showing planned weekly working patterns
I.E.3		Proposed sourcing would be contained in normal weekly production plans.	GREEN - Proposed sourcing would NOT require more than a 10% increase in the number of employees. YELLOW - Proposed sourcing WOULD require more than a 10% increase in the number of employees. RED - Current production is NOT contained in normal production schedules OR internal metrics do NOT show history of meeting customer requirements.	Suppliers plan outlining number of employees required to contain new business			
I.E.4		The Supplier uses a production planning methodology that is capable of satisfying customer demands.	GREEN - Production planning is effective, evenly based on customer demand and it's effectiveness is a QOS metric. YELLOW - Production planning is effective, evenly based on customer demand BUT it's effectiveness is NOT a QOS metric. RED - Insufficient evidence to demonstrate totally effective production planning is evenly based on customer demands	QOS documents showing production and service releases have been met without overtime unless volume increase was significant.			Description of process used, evidence of satisfactory feedback on delivery performance from customers
I.E.5		The Supplier's base production capacity analysis is based on historical production data and throughput.	GREEN - Regular machine capacity studies are completed with effective feedback improvement actions and is a QOS metric. YELLOW - Regular machine capacity studies are completed with effective feedback improvement actions but is NOT a QOS metric RED - Regular machine capacity studies are not fully implemented or used ad-hoc.	Capacity documentation and work plan to address less than required capacity.			Description of methodology used, with calculations for product being considered for (company name).
I.E.6		The supplier has a future product plan that addresses expansion needs. Does not require significant expansion of floor capacity to accommodate other customers needs.	GREEN - There is a minimum 3 year plan that does not require significant expansion of floor capacity to accommodate other customers needs. YELLOW - There is a minimum 3 year plan that does require significant expansion of floor capacity to accommodate other customers needs but has a robust plan including personnel expansion to accommodate the growth. The plan shows controlled growth as opposed to a step function. RED - The plan does require significant expansion of floor capacity to accommodate other customers needs but the Supplier DOES NOT have a robust plan including personnel expansion to accommodate the growth OR the business plan shows a history of contraction OR the plan is less than for the next 3 years.	Documented 3 year plan that addresses future expansion.			
I.E.7		The Supplier has a process for introducing new manufacturing capacity, machinery and equipment.	GREEN - Defined process includes personnel training as needed and machine validation at equipment supplier location including acceptance criteria such as OEE, cycle time, etc. Risks due to expansion are mitigated. YELLOW - Defined process includes personnel training as needed and machine validation but not at equipment supplier location. RED - Process does not exist for validating equipment.	Documented plan using a cross functional team that is used to evaluate the needed additional resources for future business expansion.			Sample Plan

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I		**Business Management**					
A		**Quality System Capability**					
I.E.8		The supplier demonstrates knowledge of Value Stream Management / Constraints theory principles.	GREEN - Supplier is capable of identifying OEE, TAKT time and process constraints and resolution methodology; Verification of ability to produce to stated capacity (run-at-rate). YELLOW - Supplier does not show evidence of OEE, TAKT time or throughput data collection, but has demonstrated sufficient capacity; Verification of ability to produce to stated capacity (run-at-rate); RED - Supplier does not show evidence of OEE, TAKT time, or throughput data collection, and has not demonstrated sufficient capacity to meet forecast demand.	Value stream mapping is understood and documents exist to support it has been done from incoming product to finish product exiting. Equipment efficiencies and through put are evaluated as a performance indicator.			
I.E.9		The Supplier uses lean manufacturing principles to lay out floor processes and inventory management. A pull system is used to move work thru the process.	GREEN - The plant is laid out in continuous product line flows rather than in shops or departments. Material is only moved minimally and for as short a distance as possible. Material is moved efficiently in appropriate containers. Warehousing is minimal. YELLOW - The plant uses lean cells in some areas. Material is stored in inventory storage areas rather than at line side. Work plans are available to show future lean activities. RED - Plant does not show evidence of lean manufacturing techniques.	Visual or process flow that outlines process delays.			Production line layout plan.
F		**MP&L / Delivery**					
I.F.1		The supplier has evidence of an electronic material management system, and is capable of demonstrating record integrity and robust inventory and shipping management	GREEN - Supplier is capable of receiving and transmitting EDI information, and utilizes Advanced Shipping Notice methodology. Adequate bar coding (to AIAG or equivalent standards) and labeling systems are present to ensure material control. YELLOW - Supplier is capable of receiving and transmitting EDI information, and utilizes Advanced Shipping Notice methodology but requires specific training . Adequate bar coding (to AIAG standards) and labeling systems are present to ensure material control. RED - Supplier is not capable of receiving and/or transmitting EDI information.	Delivery rating on the supplier indicates no late or inaccurate ASN information. - Supplier should be able to present copies of EDI releases. - Bar code labels can be viewed on containers in the supplier's warehouse.			
I.F.2		Supplier is competent in the use of DDL	GREEN - Supplier has systems infrastructure and is utilizing core DDL screens. YELLOW - Supplier has systems infrastructure for utilization of core DDL screens, but requires formal training. RED - Supplier lacks sufficient systems infrastructure to utilize DDL system.	Supplier delivery rating report card shows no deficiencies in unanswered DDL shortages (section I-B). A review should be held at with the supplier's MP&L department to ensure familiarity with the core screens and that they are being utilized.			
I.F.3		The supplier has adequate finished goods on-hand to support up to 20% weekly fluctuation in volumes to satisfy customer demand.	GREEN - Supplier holds adequate inventory to ensure that shipment requests (up to 20% over the avg daily requirement) can be fulfilled within 24 hours, thus minimizing premium freight expenses. The supplier has experience in high volume production. YELLOW - Supplier holds adequate inventory to ensure that shipment requests (up to 20% over the avg daily requirement) can be fulfilled within 48 hours. RED - Supplier does not hold adequate inventory to ensure that shipment requests (up to 20% over the avg daily requirement) can be fulfilled within 48 hours.	The delivery rating on the supplier is acceptable (Up-To-Schedule Shipping performance) and zero instances of production losses at a customer plant. A review of the suppliers finished goods warehouse may be necessary if UTS is less than 90%.			

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I		Business Management					
A		Quality System Capability					
I.F.4		The supplier MP&L Dept is accessible on a 24/7 basis.	GREEN - Supplier has a clearly defined chain-of-command for communication of production and shipment schedules on a 24/7 basis. A formal process is in place to protect the supply chain pipeline and provide safety inventory. YELLOW - Supplier has a knowledgeable contact for communication of production and shipment schedules on a 24/7 basis. RED - Supplier is unable to provide a knowledgeable contact for communication of production and shipment schedules on a 24/7 basis.	Emergency contact list is current and populated with contact names, job titles, and phone numbers for shifts #1, #2, and #3. Emergency weekend contacts and home phone numbers should be available as well.			
G		Sub-Supplier Management					
I.G.1		The Supplier has a defined process including assignment of responsibility, for managing it's supply base including identification of those suppliers with a high impact to quality on an on-going basis. The Supplier will go on site to sub-suppliers that are not meeting the Supplier's expectations and assist the sub-supplier.	GREEN - The supplier has an effective supply chain management system in place and data is shared with the sub-supplier to measure the quality of it's supply base including resources to work with sub-suppliers including directed buys. The system identifies troublesome suppliers and actions are taken to eliminate the systemic issues including on-site visits. Actions are documented and there is evidence of effectiveness. Special efforts are taken to ensure the quality of high impact suppliers. YELLOW - One of the above green requirements is missing in the system other than high impact actions or a measuring system. RED - The system is missing. Supplier is unable to show a measuring system of sub-supplier quality and only reacts to current issues instead of assisting it's supply base or does not take special efforts with high impact suppliers.	Process documentation and list of current high impact to quality suppliers. Review actions taken and expected closure for at least one supplier on the list. Quality requirements are clearly defined to the sub-supplier.			
I.G.2		The Supplier has a documented process for selecting sub-suppliers	GREEN - There is a supplier evaluation process to determine the proper sourcing strategy based on quality, cost, delivery and technical ability. Sourcing proposals are reviewed by sourcing team prior to sourcing. Certifications are received from sub-suppliers. Periodic checks are made to audit accuracy of certifications and test results. YELLOW - There is a supplier evaluation process but elements are missing or there is no review of proposals prior to sourcing. RED - Supplier evaluation process is not documented or no evidence of being followed.	Review process documentation and at least one sourcing package for completeness and process audit.			
I.G.3		The Supplier requires APQP or equivalent for incoming parts from sub-suppliers as appropriate.	GREEN - AIAG or equivalent APQP requirements are used to validate incoming parts from sub-suppliers. Supplier has a process/system in place to ensure that all design requirements/engineering specifications are communicated to the sub-supplier. The supplier informs the supply chain of the application/intended use of the product. RED - AIAG or equivalent APQP requirements are not used with all incoming parts from sub-suppliers.	Review at least one part launch package			
I.G.4		The Supplier requires PPAP or equivalent for incoming parts from sub-suppliers as appropriate. Annual reviews of compliance occur.	GREEN - AIAG or equivalent PPAP requirements are used to validate incoming parts from sub-suppliers. RED - AIAG or equivalent PPAP requirements are not used with all incoming parts from sub-suppliers.	Review at least one part acceptance package.			

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I		Business Management					
A		Quality System Capability					
I.G.5		The Supplier requires sub-suppliers to take actions to ensure all pass-thru characteristics are identified and error proofing is in place to prevent defects.	GREEN - A process is defined for identifying and managing sub-supplier pass-thru characteristics. PTCs are identified jointly with the sub-supplier, supplier and customers. PTCs have been identified on all production parts in the PFMEA and control plan. Actions have been taken to prevent pass-thru from occurring. YELLOW - A process is defined for identifying and managing pass-thru characteristics. PTCs are identified by the sub-supplier ONLY. PTCs have been identified on all production parts in the PFMEA and control plan. Actions have been taken to prevent pass-thru from occurring for most PTCs. RED - A process is NOT defined for identifying and managing sub-supplier pass-thru characteristics. PTCs have NOT been identified on all production parts in the PFMEA and control plan OR actions have NOT been taken to prevent pass-thru from occurring for most PTCs in the sub-supplier base.	Review documented supplier instruction and samples of pass-thru prevention packages from the sub-supply base.			
I.G.6		The supplier demonstrates maintenance of a sub-supplier management system to ensure on-time delivery of quality materials. C50	GREEN - Supplier shows evidence of routine performance metric reviews (QOS, On-Time delivery, PPM, etc.), cross-functional involvement in sourcing activity, and continuous improvement efforts w/ sub-suppliers. YELLOW - Supplier shows evidence of performance metric reviews, but does not engage in cross-functional involvement for sourcing decisions, or does not practice continuous improvement w/ sub-suppliers. RED - Supplier does not routinely gauge sub-supplier performance, does not engage in cross-functional involvement for sourcing decisions, or does not practice continuous improvement w/ sub-suppliers.	Measurement system of supply base.			
I.G.7		The Supplier requires the sub-supplier to have a QOS to monitor internal and customer metrics.	GREEN - There is a process that validates a sub-supplier's QOS before sourcing and documentation sent to the supply base of supplier's expectations. Periodic audits are performed to verify that sub-suppliers are meeting expectations. YELLOW - There is a process that validates a sub-supplier's QOS before sourcing or no documentation of supplier expectations. RED - There is no process to validate sub-supplier QOS.	Review supplier audit packages.			
H		Commercial / Financial+C152					
I.H.1		What is the company's current ownership structure? Does it support the goals and needs of the company?	GREEN - Stable committed ownership. Dun and Bradstreet score. RED - Questionable ownership.	Ownership stable and committed to the business. Minimal risk due to business sale, lack of cash/capital to sustain operations. Other possible information to gather: Corporate form: C-corp., S-Corp, LLC, Government/State-owned enterprise, other. JVs, or minority interests. Have there been any recent changes in ownership? Provide Dun and Bradstreet score.			
I.H.2		What is the company's recent (5 year) revenue growth? Will it impact your ability to maintain your current cost structure, invest and sustain cost reductions?	GREEN - No or low risk implied by changes in revenue. RED - Hi risk based on revenue trends.	Consider risks of large changes in revenue. Risk from severe declines could lead to financial distress. High recent growth could strain the company's resources and ability to deliver.			
I.H.3		Who are your major customers? What percent of revenue is automotive and other industries?	GREEN - Diversified customer base RED - 100% auto with no plans to diversify	Confirm sales, customers, and percentage of automotive business from Supplier Evaluation Profile. List 5 largest customers, identify as automotive where applicable, include percentage of total sales, and provide 2 years of PPM and Delivery scores.			
I.H.4		How is global competition effecting your business? What are your competitive advantages and disadvantages?	GREEN - Resources are in place to compete globally RED - Global competition will seriously threaten long term viability. Has basic understanding but lacks experience.	Review business plan to stay globally competitive.			

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I		Business Management					
A		Quality System Capability					
I.H.5		The supplier has experience with the commodity. The supplier is experienced with the material type/grade.	GREEN - Product/Material is not complex to the current business. RED - Supplier does not have experience with the quoted commodity or the material type/grade.	Review current product/material to ensure no complexity or risk to the business.			
I.H.6		What are the future trends in your industry?	GREEN - Understands the market and has the ability to supply (company name) with future market needs YELLOW - Has basic understanding but lacks experience. RED - Insufficient understanding to be competitive.	Ask about trends in technology and manufacturing.			
I.H.7		Does the company have adequate R&D, Intellectual property or patents to compete successfully?	GREEN - Sufficient. YELLOW - Needs significant improvement. RED - Can't compete with others in the industry.	Ask for R & D spending trends, # of patents.			
I.H.8		The supplier has adequate management resources (educational qualifications). What is (or will be) the supplier's support staff for the (company name) business?	GREEN - Adequate staff or plan. Supplier has acceptable capability for the product quoted. YELLOW - Short of full support staff currently but have adequate plan. RED - Inadequate staff and/or plan.	Staff is in place or that plan is sufficient to support future business. Engineering and Sales support. Look for hiring trends as compared to revenue.			
I.H.9		What is the number of employees and what is the turnover rate? (Hourly/Salaried)	GREEN - Low turnover (less than 1%) YELLOW - Turnover between 1 and 5% RED - High turnover (> 5%)	Ask for supporting data from HR.			
I.H.10		Is the company workforce union?	GREEN - No recent change RED -Recent change, history of work stoppage.	When is the contract expiration date? When was the last work stoppage?			
I.H.11		Does the company have a cost reduction program? Does the company have an effective product and process continuous improvement process?	GREEN - Yes RED - No	Summary of annual cost reductions and continuous improvements implemented.			
I.H.12		Do you have a method to measure and track customer satisfaction? How are you doing?	GREEN - Yes with an improving trend. YELLOW - Yes with a flat or degrading trend. RED - No method defined.	What is the historical productivity provided to customers? Do you have LTA's with current customers?			
I.H.13		How does your company process a new request for quote (RFQ) ? What is your average turnaround time for a new RFQ?	GREEN - 10 working days or less (no print issues etc.) YELLOW - More than 10 working days RED - More than 20 working days	Dated quote packages and requests.			
I.H.14		Are financial statements or a business plan available?	GREEN - Will provide financial statement or D&B score to the appropriate Purchasing contact. RED - Will not provide.	Provide to customer purchasing organization. Discuss requirement to provide financial statements or D&B score on an annual basis.			
I.H.15		Have you participated in e-bids? Will you?	GREEN - Yes or No RED -Not willing to participate in future events	If the supplier is unwilling to participate in future e-bids it may limit our ability to effectively conduct future sourcing.			
I.H.16		The Supplier shall provide engineering studies and timely response to inquires for pricing of changes or studies (consistent with market).	GREEN - Studies and responses are complete and comprehensive with product and program timing expectations. YELLOW - Studies and responses are NOT complete or comprehensive with product and program timing expectations, but has an agreed time line for completion. RED - Evidence exists that the supplier does not respond in a timely or accurate manner, or has and incomplete or non robust time line to completion.	Examples of previously submitted studies.			
I.H.17		The Supplier can support service requirements including engineering, release and manufacturing of service parts or kits.	GREEN - Supplier currently supports service for other customers. RED - Supplier does not currently support service or has current service issues.	Current service documentation, service facilities and tooling on surrogate programs.			
I.H.18		The Supplier has a process for determining feasibility of a product/process before a new product is quoted for future business.	GREEN - Process is defined and a cross functional team determines feasibility. YELLOW - Process is defined but a cross functional team does not determine feasibility. RED - NO process in place.	Review quoting process for feasibility statements			Description of process to review feasibility of new products before quotation to customer, as in Contract Review section of ISO TS16949
I		Customer Satisfaction					

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		**Business Management**					
A		**Quality System Capability**					
I.I.1		The Supplier demonstrates they conform to agreed specifications with current customers on a regular basis.	GREEN - Print Engineering Specifications are fully met and there is evidence of annual compliance checks to verify continued compliance. YELLOW - Print Engineering Specifications are fully met. Compliance checks do not occur annually but occur in compliance with a documented supplier procedure. RED - Print Engineering Specifications are not fully met or no evidence of compliance checks since launch of the product.	Review PSW packages for print compliance. Review records of part layout documentation and date on documentation. Evidence of parts layout schedule.			A copy of an approved PSW or equivalent for a similar part for another automotive customer. Confidential information may be obscured.
I.I.2		The Supplier has a documented process to identify, update and communicate customer expectations, objectives and requirements within their organization including the plant floor personnel.	GREEN - Evidence of communication to the plant floor of customer metrics and status. Data shows improving trends meet or exceed customer expectations. YELLOW - Evidence of communication to the plant floor of customer metrics and status. Data shows improving trends above customer expectations and work plans exist identifying actions to reach or exceed customer expectations. RED - No evidence of customer metrics and expectations communicated to the plant floor personnel.	Evidence of a communication board in the work area that either has charts with relevant customer metrics including up to date action plans or an active whiteboard with similar info. Verify with operators how often data is formally reviewed with them and how communication is carried out.			Description of process
I.I.3		The Supplier has a timely process for managing customer complaints including issue champion definition.	GREEN - An issue champion from the plant is identified and a response team is formed. Issue is reviewed with the supplier management team as part of the QOS. Champion is empowered to engage all areas of the supplier's company to reach resolution. Customer timing expectations are met. A 24/7 contact is available and updated when necessary. YELLOW - An issue champion is assigned from an area other than the plant to respond to the customer. Issue is reviewed with the supplier management team as part of the QOS. Customer timing expectations are NOT met. RED - No champion is assigned OR issues are not reviewed with the supplier management team as part of the QOS.	Presence of a procedure/flowchart for processing customer returns. Have evidence of trend , pareto, paynter, action plans with specific champions and expected completion dates for various issues. Has 8D closure tracking document. Sample agenda available for meetings where customer return data is reviewed with Management.			Description of process. Provide 24/7 contact.
J		**Employee Training**					
I.J.1		The Supplier has an organization that is trained and responsible for AIAG or equivalent documentation.	GREEN - More than one employee is trained and capable of completing the AIAG requirements or equivalent. YELLOW - Only one employee is trained to complete AIAG requirements or equivalent. RED - There is no one trained in the AIAG or equivalent standards.	Training class attendance list or training certificates			
I.J.2		The Supplier has a clearly defined process for identifying key skills for particular tasks and there is a process for validating that the personnel performing that task has adequate training.	GREEN - Defined process for reviewing the skills of an employee and identifying the skills required for a task or function for all employees including staff. Skills include quality system skills as well as technical. YELLOW - Defined process for reviewing the skills of an employee and identifying the skills required for a task or function for all employees including staff. Skills do NOT include quality system skills for all employees. RED - No clearly defined process for reviewing the skills of an employee and identifying the skills required for a task or function for all employees including staff.	Skills assessment or equivalent			Copy of skills matrix for production area being considered for (company name) production

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I		**Business Management**					
A		**Quality System Capability**					
I.J.3		The Supplier has adequate cross-training at all levels of the organization to ensure that absenteeism does not impact the Suppliers ability to meet production commitments	GREEN - Defined process for reviewing the skills of an employee and identifying the tasks the employee is trained for. All key functions have required backup personnel identified. YELLOW - Defined process is not available for reviewing the skills of an employee and identifying the tasks the employee is trained for. Most key functions have required backup personnel identified. RED - Process and backup personnel are not identified.	Backup employees are defined for all positions and skills assessments show competency.			
I.J.4		The supplier has English speaking skills at appropriate levels of management including all staff functions.	GREEN - English speaking skills are at all levels of the organization YELLOW - English speaking skills are at the top levels of management and all normal customer interfaces at key staff functions including quality and MP&L personnel at manufacturing sites. RED - English speaking skills are not clearly evident at levels needed for this assessment or translators are required.	Demonstrated by personnel during the assessment process.			Description of abilities for identified functions
K		**Statutory Requirements**					
I.K.1		The Supplier shall maintain competency in design practices consistent with the product safety requirements in the appropriate markets including global government regulations that apply to the subject commodity. This includes knowledge of and causes related to recalls of similar or competing products. A process must be in place to ensure that new and developing regulations related to applicable products are monitored and planned for as appropriate. Per ISO/TS 16949, 7.4.1.1 Regulatory conformity, all purchased products or materials used in product shall conform to applicable regulatory requirements..	GREEN - The supplier is current with government requirements and regulations in all markets that are supplied. The supplier has a system for managing any safety/regulatory components. The supplier uses effective corrosion protection for product as applicable. Supplier demonstrates knowledge of current and past campaigns for all OEMs in those markets. RED - The supplier system is not effective for maintaining up-to-date knowledge and applications of government regulations and/or actions related to product safety.	Design and development documentation, knowledge and ready access to regulatory standards, recall information. FMEA and control plans that reflect or reference compliance to significant or critical characteristics.			
I.K.2		The Supplier is IMDS or equivalent compliant.	GREEN - Supplier has a working knowledge of IMDS or equivalent and can demonstrate compliance for all customers. YELLOW - Supplier has a working knowledge of IMDS or equivalent, but cannot demonstrate full compliance for all customers. RED - Supplier is unfamiliar with IMDS or equivalent, or is unable to demonstrate how compliance would be achieved.	Supplier has access to IMDS (public internet site - website is http://www.mdsystem.com/index.jsp). Confirm existence of a completed submission for any part via an IMDS screen print from the site above or the AIAG spreadsheet - "AIAG Compliance Connect - v 1.0". Both provide information related to supplier restricted substance and recycling information. The IMDS submission is the preferred method of submission.			
I.K.3		Supplier shall report ELV related information such as material and substance information, recycled content information, and (where required) end-of-life/recycling strategies as required by (company name) and the Directive 2000/53/EC from the European Union as well as all current applicable regulations such as the WEEE and RoHS directives. A process must be in place to ensure that new and developing regulations related to harmful substances are monitored and planned for as appropriate. Per ISO/TS 16949, 7.4.1.1 Regulatory conformity, All purchased products or materials used in product shall conform to applicable regulatory requirements..	GREEN - Supplier is aware of information requirements and capable of submitting on time according to (company name)/ customer requirements. RED - End-of-life information requirements are incomplete or have not been submitted.	IMDS supplier submittal information acquired and tracked. Evidence can include IMDS I.D. # (for IMDS material submissions and recycled content info)			
II		**Production Management**					
A		**Production Planning**					

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		**Business Management**					
A		**Quality System Capability**					
IIA.1		The Supplier has documented Process Failure Mode and Effects Analysis (PFMEA) process. There is a process in place for developing these documents and there is evidence of continuous improvement in the documents. The DFMEA/PFMEA quantifies risk, identifies special characteristics for use in the control plan, takes action to reduct ongoing risk, and uses appropriate criteria to calcuate risk.	GREEN - PFMEAS are generated from DFMEAs where applicable and use process flow diagrams when developing a PFMEA. There is evidence of PFMEA updates from problem solving documents to prevent reoccurrence AND evidence of improvements from those changes. There is a defined process for developing PFMEAs. YELLOW - PFMEAS are generated from DFMEAs where applicable and use process flow diagrams when developing a PFMEA. There is evidence of PFMEA updates from problem solving documents to prevent reoccurrence but there is no defined process for developing PFMEAs or it does not follow the AIAG standards for PFMEAs RED - PFMEAS are NOT generated from DFMEAs where applicable OR use process flow diagrams when developing a PFMEA. There is NO evidence or PFMEA updates from problem solving documents to prevent reoccurrence.	Documented process or procedure in place used to generate PFMEA from DFMEA and process flow diagram with record of having been updated from problem solving documents such as 8Ds.			Copy or section of an FMEA for a current product showing evidence of actions taken, review of RPN, failure modes added as a result of customer issues
IIA.2		There is a link between the design record, DFMEA/PFMEA, Control Plan, and the Operator Instruction. Special characteristics are identified, effective, and understandable controls are specified for affected operators to use ~~Special characteristics are clearly identified in the control plan and are derived from the FMEA.~~ Special actions are in place to control all special characteristics. The supplier has experience with the required tolerance ranges.	GREEN - Special characteristics are identified in the FMEA and control plan and were determined by the supplier and customer with customer signoff. Special efforts are called for and followed in the control plan such as error proofing or SPC collection to verify control of special characteristics. YELLOW - Special characteristics are identified in the FMEA and control plan and were determined by the supplier ONLY. Special efforts are called for and followed in the control plan such as error proofing or SPC collection to verify control of special characteristics. RED - Special characteristics are not identified in the FMEA and control plan OR special efforts are not called for OR followed in the control plan.	Examples of control plans and PFMEAs available that calls out special characteristics, and documentation of concurrence on special characteristics by customer representative.			
IIA.3		The supplier uses error proofing techniques to control special charateristics and ensure product integrity. Standard work, such as job instructions with appropriate and complete information is effectively implemented.	GREEN - Error proofing is proactive. PFMEAs are used to determine where error proofing must be used and error proofing is cascaded to similar processes on the floor. Error proofing can not be circumvented by the operator. Supplier validates detection systems. YELLOW - Error proofing occurs after an issue is identified. PFMEA is updated and error proofing is cascaded to similar processes on the floor. Error proofing can not be circumvented by the operator. RED - Error proofing is random, missing entirely or can be circumvented by the operator. Learning is not cascaded to similar processes.	Examples of PFMEAs and control plans that call out error proofing or poke yokes used to reduce RPNs, observation of poke yokes in place on similar operations through the facility. Does the supplier demonstrate conformance to requirements specified or referenced in the control plan?			details of examples of Poka-Yoke used in process
IIA.4		The Supplier has a process for identifying pass-thru characteristics thru the supply chain to the end customer. All PTCs have error proofing in place to prevent pass-thru defects.	GREEN - A process is defined for identifying and managing sub-supplier pass-thru characteristics. PTCs are identified jointly with the supplier, supplier and customers. PTCs have been identified on all production parts in the PFMEA and control plan. Actions have been taken to prevent pass-thru from occurring. YELLOW - A process is defined for identifying and managing pass-thru characteristics. PTCs are identified by the supplier ONLY. PTCs have been identified on all production parts in the PFMEA and control plan. Actions have been taken to prevent pass-thru from occurring for most PTCs. RED - A process is NOT defined for identifying and managing supplier pass-thru characteristics. PTCs have NOT been identified on all production parts in the PFMEA and control plan OR actions have NOT been taken to prevent pass-thru from occurring for most PTCs in the supplier base.	Process or procedure available and in use to identify sub-supplier pass through characteristics. Pass through characteristic documentation showing customer concurrence of PTCs with control plan and PFMEA showing error proofing of PTCs.			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
IIA.5		The Supplier has reaction plans that are clearly defined to protect the customer from defective product.	GREEN - Operators understand the consequences of non-compliant parts reaching the customer. A process is defined and followed to notify the customer if it is suspected that non-conforming product has been shipped. The work station has work instructions and reaction plans that are clearly documented and accessible. YELLOW - Operators understand the consequences of non-compliant parts reaching the customer. A process is NOT defined to notify the customer if it is suspected that non-conforming product has been shipped. The reaction plans clearly instruct the operator or quality activity what to do next. RED - Operators do NOT understand the consequences of non-compliant parts reaching the customer and process is NOT defined to notify the customer if it is suspected that non-conforming product has been shipped OR the reaction plans do NOT instruct the operator or quality activity what to do next.	Documented example of having advised customer of suspect non-conforming product having been shipped. Responsible resource is able to describe reaction plan to protect customer from non-conforming product.			
IIA.6		The Supplier ensures that all gages are available for use as identified in the control plan. The gage calibration and maintenance program ensures that back-up gages or a back-up gaging process is available to support production and inspections required by the control plan.	GREEN - Gages are available and labeled appropriately per the control plan. Supplier has a published schedule that is followed for the calibration and maintenance of testing, gauging and measuring equipment. There is a documented drop policy that requires recertification if a gage is dropped. YELLOW - Gages are available and labeled appropriately per the control plan. Supplier has a published schedule that is followed for the calibration and maintenance of testing, gauging and measuring equipment. There is NO documented drop policy that requires recertification if a gage is dropped. RED - Gages are missing or the published calibration/maintenance is not robustly followed.	Control plan identifying gages; maintenance and calibration schedule of gauges, testing and measuring equipment; and drop policy requiring recalibration.			Statement by supplier that this is the case
B		Launch					
IIB.1		The Supplier has a system to manage new program launches and track APQP or equivalent requirements	GREEN - Process is defined and past launches have been successful with complete documentation. Each program has a program manager with a cross functional team identified by names with regular management review of status. YELLOW - Process in place and past launches have been successful with complete documentation. Program managers and team members are NOT identified. RED - NO process in place or past launches have NOT been successful.	Evidence of a program management process, lessons learned from previous launches and history of successful launches.			Copy/description of APQP process including gateways and deliverables
IIB.2		The Supplier shall have a process for transferring product and process design to the manufacturing facility.	GREEN - Supplier has a documented communication process with manufacturing facilities that meet project timing for delivery. YELLOW - Supplier's communication process is immature, not well documented, or shows evidence of past breakdowns in the product / process design execution. RED - Suppliers communication process is weak or undeveloped and shown consistent evident of not meeting product design / process targets / timing.	Evidence of a fully documented internal communication / information transfer process.			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
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I		**Business Management**					
A		**Quality System Capability**					
II.B.3		The Supplier shall meet all program timing requirements. Can the supplier use existing production equipment for the program?	GREEN - Historically, the Supplier has been able to demonstrate the ability to meet program requirements for all build phases with correct quantities and timing. YELLOW -The Supplier has the ability to meet program requirements for all build phases with correct quantities and timing but is not able to demonstrate. RED - The Supplier does not have the ability to meet program requirements for all build phases with correct quantities and timing.	Review history of previous launches and the process used to track timing requirements and steps supplier must take to meet timing requirements. Are specialized tooling (special to the current processes at the supplier) or fixtures required for this program?			Equipment list.
II.B.4		The Supplier has a process to notify it's customer of any program support issues.	GREEN - The Supplier has a process to notify the customer of potential timing issues in advance with an adequate recovery plan. YELLOW -The Supplier has a process to notify the customer of potential timing issues in advance but does not provide an adequate recovery plan. RED - The Supplier does not have a process to notify the customer of potential timing issues in advance.	Review documented process and examples			
II.B.5		The Supplier has a process to assess and implement the necessary resources for a successful product launch. The supplier conducts equipment validation and performs run at rate in preparation for production.	GREEN - Supplier cross functional team develops and implements a work plan including manpower to assure adequate resources for a successful launch. Historical data of success is available YELLOW - Supplier cross functional team develops and implements a work plan including manpower to assure adequate resources for a successful launch but historical data of success does not exist. RED - Supplier does not have a process to implement a work plan to assure adequate resources for a successful launch.	Work plan, equipment validation and run at rate records available.			
II.B.6		The Supplier reviews previous launches and incorporates lessons learned to achieve flawless launches.	GREEN - Supplier has a continuous improvement process for launches based on historical data and lessons learned and data shows a improvement in launch ability. YELLOW - Supplier has a continuous improvement process for launches based on historical data and lessons learned but data does not show a significant improvement in launch ability. RED - Supplier does not have a continuous improvement process for launches based on historical data and lessons learned.	Work plan available with actions to correct deficiencies in previous launches.			
C		**Production Control**					
II.C.1		The supplier has a process that ensures that all print dimensions and call-out notes on the print are always met through control plans, work instructions and receiving inspection. Control plan is clearly linked to the PFMEA. Process capability and performance is maintained at levels originally approved by the customer PPAP.	GREEN - All process or product characteristics being used to manage the manufacturing process are identified in the control plan and linked to the PFMEA. Process parameters that affect customer quality of the part are identified and controlled. Full dimensional layouts are completed at least annually. YELLOW - All process or product characteristics being used to manage the manufacturing process are identified in the control plan. Linkage to the PFMEA is sporadic. Process parameters that affect customer quality of the part are identified and controlled. Full dimensional layouts do NOT occur at least annually. RED - Process or product characteristics being used to manage the manufacturing process are missing in the control plan. Process parameters that affect customer quality of the part are not identified or controlled. Full dimensional layouts do NOT occur at least annually.	Evidence of full dimensional layout study completed at least annually. (See most recent) Validate quality controls in place, by walking a typical product line utilizing the Control Plan, and PFMEA, correlating to the operator work instructions. E107			Copy of (section of) control plan showing links with PFMEA

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I		**Business Management**					
A		**Quality System Capability**					
II.C.2		Operator set-up or work instructions are available and used. Instructions show revision levels and there is documentation of training to the instructions. Set-up instructions have initial set-up signoff by QC personnel or floor management with evidence of signoffs. Instructions include quality acceptance criteria. The supplier has capability of retrieving current drawing/specifications for use on floor inspections.	GREEN - Operator set-up or work instructions are readily available at work stations and there is evidence of use. Signoff are in place and they include quality acceptance criteria. YELLOW - Operator set-up or work instructions are readily available at work stations and there is evidence of use. Signoff are NOT in place but they include quality acceptance criteria. RED - Operator set-up or work instructions are missing or do not include quality acceptance criteria.	Evidence of set-up sheets history and signatures. Validate work instructions by observing operator following the process for a typical line.			Sample of work instruction
II.C.3		The Supplier has a clear process for traceability from raw materials to shipped goods.	GREEN - Individual parts are identified for traceability where feasible. All parts have lot traceability with in Supplier's operation where feasible. YELLOW - Individual parts are NOT identified for traceability where feasible. All parts have lot traceability with in Supplier's operation. RED - Lot traceability does not occur where feasible.	Evidence of bar-code system, or manual tracking material system available. To what extent are PTC's traced (lot vs part)?			Job card/lot traveler and description of traceability process, both forward and backwards
II.C.4		The Supplier demonstrates a clearly defined and implemented process for non-conforming product or process including initial isolation and disposition.	GREEN - A containment process is clearly defined and followed for managing non-conforming product or process. There is a controlled location for all identified non-conforming product. Product review teams disposition all non-conforming product and records are kept of the dispositions. YELLOW - A containment process is clearly defined and followed for managing non-conforming product or process. There is NOT a controlled location for all identified non-conforming product. Product review teams disposition all non-conforming product and records are kept of the dispositions. RED - A containment process is NOT clearly defined and followed for managing non-conforming product or process OR product review teams disposition all non-conforming product but do NOT keep records of the dispositions.	Evidence of a formal process for handling non-conforming material, with log history. Supplier shall demonstrate that non-conformance physical area where defective material is quarantine. All major concerns found during the manufacturing process are reviewed and resolved.			Description of process
II.C.5		The Supplier has a daily start up meeting where data such as material shortages, yield, uptime, build, pack and ship schedules for the previous day is reviewed.	GREEN - Meeting exists where internal daily metrics are reviewed. YELLOW - Meeting exists with no organized agenda. RED - Daily review of internal plant metrics does not exist.	Evidence of a daily start-up meeting, with notes and action items plus the log history.			
II.C.6		The Supplier demonstrates use of process audit techniques and follows an established audit plan	GREEN - Process audits occur with management participation on a regular basis but unannounced. YELLOW - Process audits occur and results are shared with management. RED - Process audits do not occur or the results are not shared with management.	Evidence of spot audit history and data available. A copy of the audit plan template shall be available.			Audit plan, results and action plans resulting from audits
II.C.7		The supplier demonstrates visual factory management, allowing for FIFO inventory management.	GREEN - Supplier is able to effectively utilize FIFO methodology for inventory management, thus reducing obsolescence risk and shelf-life concerns. YELLOW - Supplier has a FIFO system in place, but is unable to demonstrate utilization of the methodology on a consistent basis. RED - Supplier does not follow FIFO inventory control practices.	Evidence of a labeling system or other method to achieve a FIFO system on the material.			
D		**Statistical Methods**					

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		**Business Management**					
A		**Quality System Capability**					
II.D.1		The Supplier has a mechanism for tracking capability (Ppk and Cpk). Capabilities are above 1.67 for Ppk and 1.33 for Cpk	GREEN - Capabilities are above 1.67 for all Ppk and 1.33 for all Cpk measurements and are tracked. There is a reaction plan when capabilities drop below the requirements or begin trending toward the limits. SPC data collection intervals are driven by capability calculations. YELLOW - Capabilities are below the required values and extra ordinary measures are in place until capability improves. Capability is tracked. RED - Capabilities are below requirements and countermeasures are not in place.	Evidence of capacity Cpk tracking real-time on the equipment or manually and a reaction plan when values fall below the desired level.			Description of procedure for releasing a production process
II.D.2		The Supplier has determined appropriate statistical techniques. A key aspect of defect prevention is process variability and the use of SPC to indicate when action is necessary and conversely, when processes should be left alone.	GREEN - There is an operator-based SPC method in place based on control plan requirements fed from the PFMEA. Data is utilized to drive changes within the process. Charts capture what changes have been made to the process to enable verification that adjustment is statistically beneficial to the process. Out of control conditions are identified in a timely manner and the process is stopped until control is re-established. WIP is quarantined and checked. YELLOW - Data is utilized to drive changes within the process. Out of control conditions are identified and the process is stopped until control is re-established. WIP is quarantined and checked. RED - SPC is not tied to the control plan or the data is used to drive process control and improvements.	Evidence of use of statistical process controls on the shop floor using both variable and attribute data as applicable. Chart history monitoring key aspect of defect prevention complies with acceptable measurement system analysis.			Description of process including examples
II.D.3		The Supplier does Gage R&R in conformance with the guidelines in the AIAG MSA manual or equivalent. Whenever gage R&R does not meet these guidelines, specific plans are in place which adhere to the guidelines.	GREEN - Gage R&R studies are completed for all gages. Method and frequency is specified for each gage. Where AIAG MSA guidelines or equivalent are not met, an improvement plan is available. YELLOW - Gage R&R studies are completed for all gages. Where AIAG MSA guidelines are not met, an improvement plan is available. RED - Gage R&R studies are NOT completed for all gages.	Evidence of action plan log history when gage R&R falls below specific guidelines. This actions shall be reflected in the Control Plan to compensate for this deficiency.			Description of process including acceptance criteria
E		**Incoming Quality**					
II.E.1		The Supplier has a strategy for incoming inspection that is driven by data and potential for quality spill exposure.	GREEN - Supplier determines incoming material control strategy based on PTCs indentified in supplier and sub-supplier PFMEA, control plans and sub-supplier's quality history. Special actions are in place to verify quality control of incoming product based on confidence level of incoming stock. Process is defined for determining, implementing and removing those actions. YELLOW - Supplier determines incoming material control strategy based on PTCs indentified in supplier and sub-supplier PFMEA, control plans and sub-supplier's quality history. Special actions are in place to verify quality control of incoming product based on confidence level of incoming stock. Process is NOT defined for determining, implementing and removing those actions. RED - Supplier has no documented incoming material control strategy OR strategy is purely reactive upon manufacturing or customer notification of defective material.	Review parts that go thru incoming inspection. Ask for methodology of sample for certain parts. The inspection areas are well lit and visual aids are present.			
II.E.2		The Supplier's incoming inspection department has documentation of inspection criteria and results. Reaction plans exist and are followed in cases where result do not meet the acceptance criteria.	GREEN - Supplier has a record of inspection criteria and results. Action has occurred per supplier reaction plans which clearly identify steps to be taken when non-conformances are identified. Supplier assigns responsibility for resolution to appropriate party. YELLOW - Supplier has a record of inspection criteria and results. Action has occurred per supplier reaction plans but plans are not definitive of steps to be taken. Actions are not assigned. RED - Supplier has NO record of inspection criteria or results OR action has NOT occurred per supplier reaction plans.	Review incoming inspection department process for documentation and reaction plans when product/material does not meet acceptance criteria.			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
II.E.3		The Supplier has a process of notifying a sub-supplier of non-conforming material that includes a structured problem solving requirement such as global 8D to address quality issues. The process tracks open sub-supplier concerns for closure.	GREEN - Process is defined. Open supplier issues are actively tracked to closure. Tracking document does not show long term open issues. YELLOW - Process is defined but open issues are not pursued to closure. RED - Process is not defined or followed, Supplier can not produce a list of open sub-supplier issues.	Review process, examples of previous sub-supplier notifications, and review tracking document for evidence of closure.			
II.E.4		The Supplier has a quarantine area with limited access to prevent non-conforming incoming product from reaching the manufacturing floor.	GREEN - Quarantine area exits with limited access. YELLOW - Quarantine are exists but access is not limited. RED - Quarantine area does not exist or is not labeled as such.	Review the actual quarantine area. Is non-conforming material adequately identified, segregated, and dispositioned?			
F		Problem Solving					
II.F.1		The Supplier has a process for communicating internal and external quality concerns to the plant's production and support personnel. Corrective actions are reviewed by the plant management team to ensure robustness and learning occurs across the organization. The supplier has a process to review and reduce warranty costs e.g. analysis of returned parts, use of effective problem solving.	GREEN - Methods are in place to communicate quality issues, corrective actions and lessons learned to appropriate personnel. Operators are knowledgeable of customer complaints. There is evidence of lessons learned being cascaded to similar area of the plant and actions taking place before a defect is shipped to the customer. YELLOW - Methods are in place to communicate quality issues, corrective actions and lessons learned to appropriate personnel. Operators are knowledgeable of customer complaints. RED - Quality issues and corrective actions and not communicated to all departments in the plant, Operators are unaware of customer quality issues.	A display board is prominent displayed, high lighting customer concerns and defective product. Documents exist that show employees have been told of the defects during on-going employee meetings. Plans exist that address actions to prevent re-occurrences.			Description of process, trend data for incoming, description of how data is gathered what issues are captured by system
II.F.2		The Supplier uses a structured problem solving method such as 8D , 5 whys, to address customer and internal issues. Personnel are trained in problem solving methodology.	GREEN - Structured problem solving is in use on BOTH customer and internal issues linked to FMEAs and control plans. Training is documented. YELLOW - Structured problem solving is only in use on either customer or internal issues and is linked to FMEAs and control plans. Personnel are not fully trained in problem solving methodology. RED - Structured problem solving is not in use OR is not linked to FMEAs or control plans.	Training plans details 8D training with employee sign off. Internal and external 8D are reviewed and deemed adequate.			Show completed 8D or training plan for introduction of 8Ds
II.F.3		The Supplier measures the time required to close issues and tracks all open issues to closure. The Supplier's management team tracks the number of open issues and average time open in it's QOS metrics.	GREEN - Initial containment is submitted to customers in 24 hours and open issues are tracked for closure and time to closure is measured and targets are set. YELLOW - Initial containment is submitted to customers in 24 hours and open issues are tracked for closure and time to closure is measured. Targets are not set. RED -Initial containment is submitted to customers more than 24 hours after notification OR open issues are not tracked for closure and time to closure is not measured.	Documenters form customers supporting 8D are submitted in 24 hours and closed. Internal target are set for 8D closure and progress is tracked.			Show that FAR cycle time is a QOS measurable
G		Maintenance/Housekeeping					
I.G.1		The supplier utilizes a formal preventative maintenance plan to ensure minimal machine downtime.	GREEN - Supplier demonstrates a formal, regimented, and monitored maintenance schedule to ensure minimal downtime (10% maximum) in support of sufficient OEE to meet customer demand. YELLOW - Supplier demonstrates informal but consistent maintenance schedule to ensure minimal downtime (10% maximum) in support of sufficient OEE to meet customer demand. RED - Supplier is unable to demonstrate routinely scheduled maintenance, or experiences downtime resulting in supply risk to customer (as noted via delivery ratings).	Preventative maintenance plan and summary of maintenance and downtime logs. Are knowledgeable resources available to carry out machinery and equipment maintenance?			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		**Business Management**					
A		**Quality System Capability**					
I.G.2		The Supplier has implemented practices that include reactive, preventative and predictive maintenance that support process capability improvement	GREEN - There is a robust process in place to improve the management, maintenance and life-cycle of equipment and tooling. Unscheduled downtime is tracked and reviewed for corrective actions. Lessons from events due to unscheduled downtime are incorporated into the PM plan to improve OEE. Predictive maintenance is based on empirical methods. YELLOW - There is a robust process in place to improve the management, maintenance and life-cycle of equipment and tooling. Unscheduled downtime is NOT tracked. Lessons from events due to unscheduled downtime are NOT incorporated into the PM plan to improve OEE. Predictive maintenance is NOT based on empirical methods. RED - There is NOT a robust process in place to improve the management, maintenance and life-cycle of equipment and tooling.	Preventative maintenance plan and summary of maintenance and downtime logs.			Description of system including person responsible for lockout and methods similar to calibration system
I.G.3		The Supplier has inventory of replacement machine / tool parts to prevent excessive down time and prints available for special tools.	GREEN - List of machine / tool parts to inventory is defined in conjunction with the equipment manufacturer and parts are is maintained on site. Prints available if in applicable. RED - Inventory is not maintained or defined.	Parts inventory list and parts on site.			
I.G.4		The Supplier shall demonstrate good housekeeping.	GREEN - Aisle ways/hallways are clear. Everything has a place. Measures are in place to manage contamination and all locations have appropriate lighting. YELLOW - Employee space is severely limited and unorganized. Measures are in place to manage contamination and all locations have appropriate lighting. RED - Housekeeping does not appear to be controlled. Lighting and the environment have the ability to negatively impact quality.	Walk shop floor.			Some digital photos could be provided of various areas.
I.G.5		The Supplier shall demonstrate proper control of confidential material.	GREEN - Supplier has a process to control confidential documents and other materials as needed. RED - There is no process to control confidentiality.	Documented confidentiality procedure / process.			
III		**Full Service Supplier Capabilities**					
A		**Research & Development**					
IV.A.1		The supplier's innovation projects and direction represent a strategic fit with (company name)'s business plan.	GREEN - The suppliers innovation direction fits (company name)'s business plan. YELLOW - The supplier's innovation direction partially aligns with (company name)'s business plan. RED - The suppliers innovation direction diverges from (company name)'s business plan.	Project lists, supplier's business plan, current or recent product technology projects. There is evidence of employee involvement in innovation.			
IV.A.2		The Supplier has an innovation group or formal process to develop and introduce new concepts, designs and ideas.	GREEN - A group and/or process exists and has demonstrated contribution to new products. YELLOW - An informal process exists or the formal process does not have a demonstrated track record. RED - No group or formal process and little evidence of innovation.	Organizational chart with roles and responsibilities, documented process, project or idea list, meeting minutes.			
IV.A.3		The Supplier has marketing and technical expertise required to develop new technology as well as create new product offerings to maintain product leadership in the subject commodity.	GREEN - marketing and technical expertise is present and has been in place for 5 or more years. YELLOW - marketing and technical expertise is present and has been in place for 1-5 years. RED - marketing OR technical expertise does not exist, has gaps or has been in place for <1 year.	Marketing studies/reports, supplier's business plan, org chart and biographies of key technical personnel.			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
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I		Business Management					
A		Quality System Capability					
IV.A.4		The Supplier remains current with OEM requirements including competitive products, features and trends.	GREEN - The supplier has a system for understanding and maintaining OEM and competitor requirements, products and trends. This system is widely available and used by the supplier's organization. YELLOW - The supplier collects information on OEM requirements, products and trends. Analysis and demonstrated use of this information is limited. RED - The supplier is exclusively internally focused. Only fragments of data on OEM or competitors exist.	Recent presentation materials, roles and responsibilities of personnel responsible to understand OEM and competitive products. Benchmarking databases, libraries, reports. Suppliers business plan information.			
B		Core Engineering					
IV.B.1		The Supplier has engineering and design personnel who are competent to design, engineer and manage the subject commodity in accordance with the suppliers manufacturing and design practices. Personnel shall be competent in the use of (company name) and OEM reporting and release systems.	GREEN - Engineering and design personnel available and trained in internal practices and guidelines as well as (company name) and OEM reporting and release activities. RED - Number or experience level of engineering personnel not currently available to meet development needs.	Team matrix with roles and responsibilities, documentation from previous or current programs. Readily accessible copies of customer product development and OEM product development guidelines, specifications, procedures.			
IV.B.2		The supplier has CAD/CAE resources on site. The Supplier shall possess CAE tools that can accurately predict component performance.	GREEN - Supplier has appropriate CAE tools and technical expertise for design optimization. Minimal testing is needed for validation only. YELLOW - Supplier has some CAE capability and used CAE to support physical testing. RED - Minimal CAE applications. Testing is the only method to predict performance.	Tool demonstration, study results, correlation studies. DVP&Rs.			List number of seat and the program used.
IV.B.3		The supplier shall have proprietary or industry design and testing specifications for the subject commodity, which would be applied in the absence of OEM or (company name) requirements.	GREEN - Test specifications and procedures are written and verified through computer models, extensive empirical data or other method over multiple design generations. RED - Test specifications are not formalized. Test specifications have not been verified through second or third method or have not been in place more than two generations or product design.	Test specifications, DVP&Rs, Test procedures			
IV.B.4		The Supplier has the required hardware, software and expertise to design and develop all assemblies and end item components to the current design standards. All software and hardware are compatible with (company name)/customer requirements.	GREEN - All hardware and software is in place and currently utilized by trained personnel. YELLOW - Plans exist to obtain needed hardware and software to support requirements. RED - Hardware and software requirements have not been addressed and personnel require training.	Hardware review, personnel and records of training or output from previous or current programs.			
IV.B.5		The Supplier shall have expertise in statistical design tools such as variational system analysis, design of experiments etc.	GREEN - Statistical tools are applied as appropriate to design and development of products. The supplier has experience with measurement system analysis. YELLOW - The supplier is generally capable of statistical applications and use, but rarely applies them in the design and development process. RED - Little or no evidence of capability and use of statistical tools in the design process.	Previous or current studies			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		**Business Management**					
A		**Quality System Capability**					
IV.B.6		The Supplier shall have technical specialists and capacity in key areas of product development, advanced development, manufacturing, program management and supplier management.	GREEN - Technical capabilities and resources exist in all key product areas. Resources are available to support programs at critical times. Liaison issues with (company name) regarding location and language have been properly addressed. YELLOW - Technical capabilities are immature or do not exist in sufficient numbers to support core engineering and program applications. Issues surrounding location and/or language exist and has a plan, but it has not yet been executed. RED - Evidence exists that technical capabilities do not fully support product or program needs. Significant issues exist related to location or language.	Organizational chart with roles and responsibilities, program team matrix, resumes and biographies of personnel.			
IV.B.7		The Supplier shall have testing capability to perform DV and reliability testing.	GREEN - Supplier actively manages testing whether on-site or outsourced. The supplier controls test schedules. YELLOW - Testing is under the control of the supplier, but potential for delays or other issues exist that may affect program timing. RED - Testing resources are unstable without appropriate test facilities or relationships. Test results may not be reliable. Timing is likely to be affected by test resources.	Test schedules and performance to schedule, DVP&Rs, facility review			
IV.B.8		The Supplier shall meet craftsmanship/color harmony requirements as applicable.	GREEN - Supplier has facilities and resources to meet all craftsmanship and color harmony requirements. RED - Supplier does not have proper facilities or resources.	Facilities, parts, meeting minutes/action plans, sign-offs from previous programs.			
IV.B.9		The Supplier can support service requirements including engineering, release and manufacturing of service parts or kits.	GREEN - Supplier currently supports service for other customers. RED - Supplier does not currently support service or has current service issues.	Current service documentation, service facilities and tooling on surrogate programs.			
C		**Program Management**					
IV.C.1		The supplier has a well defined program management process in place. The Supplier shall manage design, development manufacturing and APQP or equivalent compliance of sub suppliers and represent the sub suppliers in the co-located team and with the customer.	GREEN - Sub suppliers are integrated as part of supplier's team with representation and co-location as appropriate. Early involvement in APQP with sub-tier suppliers is ensured. YELLOW - Sub suppliers act independently from suppliers while supporting product or program needs. RED - Sub supplier relationships are strained or appear uncoordinated with suppliers.	Evidence of regular communication / interaction with Supply Base on project related issues			
IV.C.2		The Supplier shall maintain a product development system, which is capable of delivering BIC products within quality, timing and cost constraints that is compatible with APQP.	GREEN - Supplier's product development system is documented and repeatedly produces products at targeted levels of cost, quality and timing. System is seamless with APQP. YELLOW - Supplier's product development system is immature or undocumented. Products are normally at target levels without repeat issues. Loosely aligned with APQP. RED - Supplier's product development system is underdeveloped and has shows evidence that products are not consistently on target. Repeat issues exist. Little or no alignment with APQP.	Documentation showing alignment between Suppler product development system and (company name) APQP, with key milestone / metrics / deliverables highlighted.			
IV.C.3		The Supplier has an integrated design and release system capable of tracking product status (BOM, cost, weight, design level) and changes on a real time basis.	GREEN - Mature system in place. YELLOW - Stand-alone or immature system in place. RED - No "real-time" system in place.	Evidence of a fully documented internal release system / process. The supplier has an effective change management process including interface with sub-suppliers.			

Supplier Quality / Risk Assessment			Supplier Name:		Assessment Date:		
	Score	Requirements	Scoring Criteria	Suggested Evidence	Findings	Due Date	Evidence Required
I		Business Management					
A		Quality System Capability					
IV.C.4		The Supplier shall provide engineering studies and timely response to inquires for pricing of changes or studies (consistent with market).	GREEN - Studies and responses are complete and comprehensive with product and program timing expectations. YELLOW - Studies and responses are NOT complete or comprehensive with product and program timing expectations, but has an agreed time line for completion. RED - Evidence exists that the supplier does not respond in a timely or accurate manner, or has and incomplete or non robust time line to completion.	Examples of previously submitted studies.			
IV.C.5		The Supplier shall provide quality and reliability targets such as P/100, R/1000, fit and finish etc. for all end items.	GREEN - Targets are established and competitive. RED - Targets have not been established or are not competitive within the market.	Evidence of competitive position/target, quality charts, quality roadmaps and action plans.			
		***ALL RED OR YELLOW ITEMS REQUIRE an action plan with dates and timing within 14 days.**					

Confidentiality Agreement

MUTUAL CONFIDENTIALITY AND NON-DISCLOSURE AGREEMENT

This Mutual Confidentiality and Non-Disclosure Agreement (the "**Agreement**") is entered into as of the _____ , by and between TRICO PRODUCTS CORPORATION ("**Trico**"), CARTER FUEL SYSTEMS ("**Carter**"), AVM INDUSTRIES ("**AVM**") and _____ [individual/corporation/limited liability company], ("__"). Trico/Carter/AVM and Drive Creative Agency hereinafter are sometimes referred to individually as "**Party**" and collectively as "**Parties**".

WHEREAS, the Parties hereto are in discussions in connection with a potential business opportunity, arrangement or relationship (the "**Opportunity**") [_____];

WHEREAS, in connection with the Opportunity, the Parties may have access to confidential and proprietary information of the other Party;

WHEREAS, the Parties desire to provide for the protection of any such confidential and proprietary information disclosed to the other Party;

NOW THEREFORE, in consideration of each Party being furnished Confidential Information (defined below), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the Parties agree, and shall cause their employees, officers, directors, employees, agents, lawyers, accountants, consultants, advisors, representatives and affiliates ("**Representatives**"), to comply with the provisions hereof.

1. **Confidential Information**. The activity between the Parties will involve disclosure of certain information and know-how that is regarded as confidential and proprietary to the Parties (hereinafter referred to as "**Confidential Information**"), and under the terms of this Agreement the Party disclosing such Confidential Information to the other Party shall be known as the "**Disclosing Party**", and the Party receiving such Confidential Information shall be known as the "**Receiving Party**". For purposes of this Agreement, Confidential Information includes, without limitation, any and all information (whether conveyed orally or in printed or electronic format or in whatever other manner) disclosed by the Disclosing Party to the Receiving Party, that (a) is contained in or relates to any information, memoranda, business proposals or other documentation relating to the Opportunity that may be prepared by or on behalf of the Disclosing Party; (b) relates to any financial, technical, business, operational, commercial, administrative, marketing, planning, staff management and economic information, data and know-how of the Disclosing Party (including copies thereof), including all agreements, files, books, reports, logs, charts, computer programs and software, electronic mail and files, processes, trade secrets, technical information, plans, specifications, identity of customers, identity of suppliers, pricing, employee information, records, reports, materials, drawings, designs, methods, architectures, test data, studies, models, processes, statistical information and other technical information, whether or not directly related to the Opportunity. The term "Confidential Information" also includes all proposals made by either Party or its Representatives pertaining to the Opportunity, trade secrets, notes, analyses, compilations, studies, interpretations or other documents and data prepared by either Party or its Representatives which

contain, reflect or are based upon, in whole or in part, the Confidential Information furnished to the Receiving Party by the Disclosing Party.

2. **Use of Confidential Information**. The Receiving Party and its Representatives shall preserve in strict confidence all such Confidential Information, and neither the Receiving Party nor its Representatives will use the Confidential Information of the Disclosing Party for any purpose other than in connection with the Opportunity (except as otherwise authorized in writing by the Disclosing Party). If the Parties enter into a written agreement pertaining to the Opportunity, this Agreement will continue in full force and effect, unless expressly provided otherwise in the written agreement and executed by the parties hereto.

3. **Protections Against Disclosure**. Confidential Information will be disclosed by the Receiving Party only to those of its personnel or its Representatives who reasonably require the same for the performance of the purposes herein permitted, and the Receiving Party shall adhere to the same standards for protection of the Confidential Information that the Receiving Party would prudently use in the protection of its own confidential information. Unless otherwise authorized in a written instrument signed by an authorized officer of the Disclosing Party, the Receiving Party shall maintain all Confidential Information in a confidential manner, as more particularly described above, whether written or otherwise, including the fact that the Parties have entered into this Agreement and may be rendering services to each other; provided, however, that the foregoing obligations of confidentiality shall not apply to any portion of the Confidential Information which the Receiving Party can convincingly demonstrate:

(a) is or becomes public knowledge other than through the unauthorized disclosure by the Receiving Party or another third Party with an obligation to maintain its confidentiality; or

(b) is received legally without restriction on disclosure from a third Party who has the legal right to make such disclosure; or

(c) is known to the Receiving Party prior to disclosure by the Disclosing Party as demonstrably shown by written records; or

(d) information which is independently developed by the Receiving Party and the Receiving Party can convincingly so prove; or

(e) information which the Receiving Party is required to disclose pursuant to a non-appealable, final order or subpoena of a state or federal court or other tribunal having competent jurisdiction over the subject matter; provided that the Receiving Party gives prompt written notice to the Disclosing Party, but in no event later than five days from the date the Receiving Party is served with or receives notice of such order or subpoena, so that the Disclosing Party may seek a protective order; provided, further, that if all or part of the Confidential Information is required to be disclosed, such Confidential Information shall be disclosed to the minimum extent required and the Receiving Party shall deliver to the Disclosing Party written notice of such Confidential Information to be disclosed as far in advance of its disclosure as is practically possible.

4. **Intellectual Property Rights**. All documents, components or prototypes or information of any character, including but not limited to materials, drawings, specifications, data, designs, computer or electronic files, and instructions, delivered to the Receiving Party by the Disclosing Party, shall remain the sole and exclusive proprietary property of the Disclosing Party, and shall be returned by the Receiving Party together with all copies thereof to the Disclosing Party promptly upon the Disclosing Party's request. By disclosing information to Receiving Party, the Disclosing Party does not and no course of dealing between the Parties shall be construed to constitute the grant of any express or implied right or license to Receiving Party to or under any of the Disclosing Party's patents, copyrights, trademarks, or trade secret information. With respect to intellectual property:

(a) Each Party shall retain exclusive ownership of any and all rights owned by such Party prior to the effective date of this Confidentiality Agreement.

(b) Each Party shall retain any and all rights to any inventions and discoveries and information and data conceived solely by such Party's employee(s) in the course of performance of any work or activity hereunder; provided that such Party fully funds such work or activity, and does not use the instrumentality, confidential information or assets of the other Party hereto, leading to the generation of such invention, discovery, information or data.

(c) As to any and all inventions, discoveries, information, developments, processes and data jointly invented by personnel of the Parties, the Parties will take all commercially reasonable steps to confer and decide which Party will be granted ownership and take title to any such inventions, discoveries, information, developments, process and data. The Party to whom ownership is established shall grant a fully paid, irrevocable, perpetual, non-exclusive license to the other Party.

(d) Neither Party shall acquire any intellectual property rights or licenses under this Confidentiality Agreement other than as provided in Section 4(c) above.

5. **Return of Confidential Information.** If an Opportunity with the Disclosing Party is not consummated or if the Disclosing Party so requests, Receiving Party will promptly return to the Disclosing Party all copies of any Confidential Information in Receiving Party's possession or in the possession of Receiving Party's Representatives, and will destroy all copies, in every format, including digital, of any analyses, compilations, studies or other documents prepared by Receiving Party or for Receiving Party's use containing or reflecting any Confidential Information and certify to the Disclosing Party that such destruction has been completed.

6. **Term and Termination**. Either Party may terminate this Confidentiality Agreement at any time; provided, however, that such termination shall not affect the Parties' obligations hereunder with respect to any Confidential Information disclosed prior to the effective date of such termination. The term for protection of the Confidential Information exchanged between the Disclosing Party and the Receiving Party under this Agreement shall not expire except as otherwise provided for in this Agreement.

7. **Remedies**. The Parties hereto agree that owing to the nature of this Agreement and the Confidential Information, money damages would not be a sufficient remedy for any breaches hereof and that the Disclosing Party shall be entitled to seek, without waiving any of its rights or remedies, specific performance and injunctive and/or other equitable relief as a remedy for any such breach. In the event that the Disclosing Party seeks injunctive relief of any provisions of this Agreement, Receiving Party agrees to waive and hereby does waive any requirement that the Disclosing Party post a bond or any other security. Such remedy shall not be deemed to be the exclusive remedy for any breach by the Receiving Party, but shall be in addition to all other remedies available to the Disclosing Party at law or in equity. Should any legal action or proceeding be commenced by either Party in order to enforce this Agreement or any provision hereof, the prevailing Party shall be entitled to recover reasonable attorneys' fees and costs incurred in connection with such action or proceeding, including costs of pursuing or defending any legal action, and any reasonable investigation related thereto, in addition to such other relief as may be granted.

8. **Indemnification**. Receiving Party agrees to indemnify, defend and hold the Disclosing Party harmless against any and all liability, actions, claims, demands, liens, losses, damages, judgments, and expenses, including reasonable attorneys' fees that may arise from the unauthorized disclosure of Confidential Information or the unauthorized use of Confidential Information resulting from the Receiving Party's negligence or misconduct. Disclosing party shall promptly notify the Receiving party of any third party claims and the Receiving Party shall have the right to defend such claims at its own expense.

9. **Notice of Breach.** Receiving Party shall notify the Disclosing Party immediately upon discovery of any unauthorized use or disclosure of Confidential Information, or any other breach of this Agreement by Receiving Party, and will cooperate with the Disclosing Party in every reasonable way to help the Disclosing Party regain possession of the Confidential Information and prevent further unauthorized use or disclosure.

10. **Entire Agreement; Waiver**. This Agreement constitutes the entire agreement of the Parties with respect to the subject matter hereof and supersedes all prior inconsistent understandings. Neither this Section 10 nor any other provision in this Agreement may be waived or amended except by written consent of the Disclosing Party, which consent shall specifically refer to this Section 10 (or such other provision) and explicitly make such waiver or amendment.

11. **Third Party Information**. The Parties acknowledge that each may receive and in the future may receive from third parties certain confidential or proprietary knowledge, data, information or materials ("**Third Party Information**") subject to a duty on the recipient of such Third Party Information to maintain the confidentiality of this information and to use it only for certain limited purposes. During the term of this Agreement and thereafter, Receiving Party shall hold Third Party Information received from Disclosing Party in the strictest confidence and shall not disclose to anyone (other than Receiving Party personnel who need to know such information in connection with their work for Receiving Party to carry out the Opportunity of this Agreement) or use, except in connection for its work to carry out the purpose of this Agreement related to the Opportunity, Third Party Information unless expressly authorized by Disclosing Party in writing.

12. **Governing Law**. This Agreement will be governed by and construed in accordance with the laws of the State of Michigan, without giving effect to any conflicting-law provisions which would apply the laws of another jurisdiction.

13. **Assignment**. Receiving Party shall not assign or transfer (by operation of law or otherwise) any rights or obligations under this Agreement without the prior written consent of the Disclosing Party, which shall not be unreasonably withheld. This Agreement shall be binding upon and inure to the benefit of the Parties and their respective legal representatives, successors and assigns. Notwithstanding the foregoing, Trico may assign this Agreement, without consent, (a) in whole or in part, to an affiliate or subsidiary or (b) to a successor entity in the event of a change of controlling ownership interest (either directly or indirectly) in Trico or in the event of merger, recapitalization, consolidation, or other business combination or sale of all or substantially all of Trico's assets.

14. **No Additional Obligations.** Nothing in this Agreement shall (i) obligate either Party to disclose any Confidential Information or other information to the other Party, (ii) obligate either Party to buy, sell or license any products, and/or technology from/to the other Party, or to enter into any other agreement with the other Party, or (iii) preclude either Party from pursuing any business opportunity with any third party.

15. **Representations or Warranties; Disclaimer.** (a) Each Party hereto represents and warrants to the other that: (i) it is duly formed, validly existing and in good standing under the laws of its jurisdiction of organization; (ii) it has the full right and power to enter into and fully perform this Agreement in accordance with its terms; (iii) this Agreement constitutes a legal, valid and binding agreement of such Party, enforceable against such Party in accordance with its terms; (iv) it will comply in all material respects with all applicable laws and regulations in the exercise and performance of its rights and obligations under this Agreement; and (v) its execution, delivery and performance of this Agreement throughout its duration does not require consent from any third party and will not violate (with the lapse of time or giving of notice or both) rights granted by such Party to any third party or violate or otherwise interfere with the provisions of any agreement to which such Party is a party or otherwise bound, preclude such Party from complying with the provisions hereof, or violate any applicable law or regulation or judicial order.

(b) Receiving Party understands and acknowledges that the Disclosing Party is not making any representation or warranty, express or implied, as to the accuracy or completeness of the Confidential Information, and neither the Disclosing Party, nor any of its respective Representatives will have any liability to Receiving Party or any other person resulting from Receiving Party's use of the Confidential Information. Only those representations or warranties that are made in a definitive agreement pertaining to the Opportunity, when, as, and if it is executed and subject to such limitations and restrictions as may be specified in such transaction agreement, will have any such legal effect.

16. **Severability.** If any provision of this Agreement or any portion of any such provisions shall be held invalid or unenforceable by a court of competent jurisdiction, the remaining provisions of this

Agreement shall remain in full force and effect, and the provision or portion thereof affected by such holding shall be modified, if possible, so that such offending provision is enforceable to the maximum extent permissible.

17. **Notices.** All notices required or permitted to be given hereunder shall be in writing and shall be deemed given (a) when delivered in person at the applicable addresses set forth below, (b) three business days after being deposited in the applicable official governmental mail, with proper postage prepaid for registered or certified mail, return receipt requested, addressed as set forth below, or (c) on the first business day after being sent by facsimile to the applicable facsimile numbers set forth below, provided that the Party sending such facsimile shall obtain and retain for its records a verification of the full transmission of such facsimile and that such notice is also deposited in the applicable official governmental mail, with proper postage prepaid for first-class mail, within three business days of the sending of such facsimile:

If to Trico/Carter/AVM:
3255 West Hamlin Rd.
Rochester Hills, MI 48309
Telephone: (248) 371-8300
Fax: (248) 371 - 8302

If to _____
_____
_____
_____
Telephone: ( ) ___-____
Fax: ( ) ___-____

and/or at such other respective addresses and/or addressees as may be designated by notice given in accordance with the provisions of this Section 17.

18. **Survival**. All obligations created by this Agreement shall survive the termination of the Parties' business relationship and their investigation of the Opportunity.

19. **Counterparts**. This Confidentiality Agreement may be executed in one or more counterparts, each of which shall be considered an original. Any counterpart may be executed by facsimile signature and such facsimile signature shall be deemed an original.

20. **No Relationship**. Nothing contained herein or done hereunder will be deemed to constitute or create any relationship of principal or agent or partners or joint venturers between the Parties or any other relationship other than expressly, and not impliedly, set forth herein.

21. **Export Laws**. Each Party hereto shall abide, in all material respects, by all export/import laws of the United States of America, and any applicable foreign nation, when making disclosure of Confidential Information to the other Party.

22. **Authority**. The undersigned hereby represent and warrant that they are authorized to execute this Agreement on behalf of their respective Party and that this Agreement, when executed shall be a valid and binding obligation of said Party enforceable in accordance with its terms.

[Remainder of Page Intentionally Blank.
Signature Page Follows.]

IN WITNESS WHEREOF, the Parties have entered into this Confidentiality Agreement as of the date first written above.

TRICO PRODUCTS CORPORATION
CARTER FUEL SYSTEMS LLC
AVM INDUSTRIES
3255 West Hamlin Road
Rochester Hills, MI 48309
USA

By:_____
Name: Martha Klinger
Title: Director of Purchasing
Date:_____

_____
_____
_____
_____

By:_____
Name:_____
Title:_____
Date:_____

Note: The Mutual Confidentiality and Non-Disclosure Agreement must be signed by an authorized officer of the Company. Return two fully executed original copies to: Trico Products Corporation; 1995 Billy Mitchell Blvd. Brownsville TX 78521, Attention: Corporate Purchasing

D. Quotation and Award

Quote Confirmation

Trico Brownsville
1995 Billy Mitchell Blvd
Brownsville, TX 78521
(956) 544-2722

TRICO®

Trico Matamoros
Avenida Michigan # 200
Parque Industrial del Norte
Matamoros, Tamps, Mexico

Quote confirmation for Kick Off

CI#: _____

(Attach original quote and released print)

Supplier: _____
Location: _____

Platform: _____
Customer: _____
Trico Mfg Location: _____
OE Customer Ship to Location: _____

Part Number: _____ Rev: _____

Annual Volume: _____ APV: _____ MPV: _____

SAMPLE DATES		Qty
First off Samples:	_____	20
Trico De-bug and Trials:	_____	100
PPAP Samples:	_____	**400**
SOP Date:	_____	

1 What is the impact of quoted business on floor space utilization? (As % of total)

2 Are there capacity concerns with equipment/fixtures/Tooling?

3 Do you have experience with quoted commodity? Is this product considered complex?

4 Are specialized tooling (special to the current process) or fixtures required for this program?

5 Do you have existing production equipment for this program? If not, list equipment and lead time.

6 Is the product design validated and ready for the production realization phase?

7 Are there any part timing issues?

8 Are there any open concerns from the techical review?

9 Are there any exceptions from team feasibility assessment?

10 Do you conform to current applicable statutory and regulatory requirements in your country, the ship location, and the customer ship to location (noted above)

11 Who is the program manager for this project?

Contact information:

Return to: _____
E-mail: _____

Distribution	SQE:			
	PM:			
Approval	QM:	_____	Date:	_____
	MM:	_____	Date:	_____
	ENG:	_____	Date:	_____
	PUR:		Date:	

Supplier APQP – Tool Timeline

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SUPPLIER APQP - TOOL TIMELINE AND BUILD STATUS REPORT

REPORT DATE:

Trico Tool Number:
Part Number:
Description:
New/Modified/Carryover:
Platform:
Customer:
Model Year: Volume:

SUPPLIER:
Location:
Program Manager:
Phone:
Cell Phone:
Email:

PO #
Tool Completion due:
PPAP # Due:

All updates are to be e-mailed to the Trico team below:

Purchasing Name:
Ext. E-Mail:
Engineer Name:
Ext. E-Mail:
SQE Name:
Ext. E-Mail:
Launch Eng name:
Ext. E-Mail:

All samples are to be marked with an AP prefix on labels and packaging slips.
Samples to be shipped to:
Trico Products
1995 Billy Mitchell Blvd.
Brownsville, TX 78521
956-544-2722

Major Milestones:

Verify:	Date/Comments:
Floor space utilization	
Equipment availability/Capacity	
Print/Model Review	
Tool capacity	
Technical review	
Team feasibility	
PPAP/DFMEA review (PTC,CC)	

Samples:	Due
1st Shots/OTS (Qty 20)	
Trico Assy Debug/Trial (Qty 100)	
PPAP (400)	

Updates: *Report date:*
% Complete:

1st Shots Attn Eng.	Shipped		Qty	
Trico Debug Attn LE	Shipped		Qty	
PPAP Attention SQE	Shipped		Qty	

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SUPPLIER APQP - TOOL TIMELINE AND BUILD STATUS REPORT

Project Status: (You may attach your own APQP Gantt chart to this form. Please ensure all milestones are covered.)

Item	Project Milestone Description	% complete	Original Plan	Current Plan	Late?
1.	*Submit concept to Trico. (sketch/design)*				Yes: ☐ No: ☐
2.	PPAP request/DFMEA reviewed and CC, SC, PTC received/reviewed?				Yes: ☐ No: ☐
3.	Submit preliminary design and manufacturing feasibility to Trico.				Yes: ☐ No: ☐
4.	A tool, gage, equipment, and facility timing plan has been developed and supports PPAP timing req.				Yes: ☐ No: ☐
5.	Sub Supplier APQP activities are monitored.				Yes: ☐ No: ☐
6.	Capacity requirements for average production weekly/Max production weekly received?				Yes: ☐ No: ☐
7.	Order material for sampling and process development				Yes: ☐ No: ☐
8.	Receive "OK-TO-TOOL" from Trico.				Yes: ☐ No: ☐
9.	Start producing cavity and core details/components				Yes: ☐ No: ☐
10.	Start/Order mold base/die and ancillary components				Yes: ☐ No: ☐
11.	Finish cavity and core details/components				Yes: ☐ No: ☐
12.	Finish/Receive mold base/die and ancillary components				Yes: ☐ No: ☐
13.	Assemble/Set up Die/mold final fitting.				Yes: ☐ No: ☐
14.	1st Mold / Off Tool Sample run				Yes: ☐ No: ☐
15.	Submit 1st/OTS parts to Trico engineer with process sheets and layouts (must be submitted simultaneously) for fit/form, appearance, texturing and gating review				Yes: ☐ No: ☐
16.	Start die/mold corrections from 1st sample.				Yes: ☐ No: ☐
17.	2nd Die/Mold Sample				Yes: ☐ No: ☐
18.	Submit 2nd/OTS parts to engineer with corrected documents. (must be submitted simultaneously)				Yes: ☐ No: ☐
19.	Mold / Die run-off and production of parts for capability studies for PPAP				Yes: ☐ No: ☐

TRICO®

SUPPLIER APQP - TOOL TIMELINE AND BUILD STATUS REPORT

Project Status: (You may attach your own APQP Gantt chart to this form. Please ensure all milestones are covered.)

Item	Project Milestone Description	% complete	Original Plan	Current Plan	Late?
20 .	Ship Trico assy/de-bug and trial parts (100) to Launch engineer with control plan.				Yes: ☐ No: ☐
21 .	All necessary packaging is in place.				Yes: ☐ No: ☐
22 .	Complete PPAP submission, PPAP samples minimum qty 350.				Yes: ☐ No: ☐
23 .	Tool drawings and 3D data updated/completed and sent to Trico purchasing agent.				Yes: ☐ No: ☐
24 .	Send photos of tools and tool tags for final payment.				Yes: ☐ No: ☐

- This Form must be submitted within three working days of receipt of a purchase order from Trico
- The "Original Plan" dates may not be changed by the vendor after submission of the first regular report.
- Reports are to be e-mailed to the Trico team on the cover sheet of this form.
- The "Original Plan" dates may be adjusted due to product design changes or design holds. Trico purchasing will indicate what the acceptable changes are for the respectives dates.
- Any item showing "Yes" in the late column will require a corrective action plan report. Report these plans on the following page.

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SUPPLIER APQP - TOOL TIMELINE AND BUILD STATUS REPORT

Corrective Action Plan Reporting

(Cumulative to Project)

Item #	Reporting Date	Closure Date	Corrective Action

Team Feasibility Commitment

Team Feasibility Commitment Document

Project:		**Date:**	
Customer:		***Part/Manufacturing Process Name:***	
New Part Number or Manufacturing Process			

Feasibility Considerations:

Our product quality planning team has considered the following questions, not intended to be all-inclusive in performing a feasibility evaluation. The drawings and/ or specifications provided have been used as a basis for analyzing the ability to meet all specified requirements. All "no" answers are supported with attached comments identifying our concerns and/ or proposed changes to enable us to meet the specified requirements.

YES	NO	CONSIDERATION
		Is product defined (application, requirements, etc.) to enable feasibility evaluation?
		Can Engineering Performance Specifications be met as written?
		Can product be manufactured/assembled to tolerances specified on drawing?
		Is product defined for special characteristics (crticial, significant, etc.)?
		Can product be manufactured/assembled with Cpks that meet requirements?
		Does the design allow the use of efficient material handling *and ergonomic* techniques?
		Is there adequate capacity to produce product *(from suppliers)* ?
		Is there adequate capacity to produce product (assembly/pack location)?
		Can the product be manufactured/assembled without incurring any unusual:
		• Costs for *Trico owned tooling/gages and* equipment?
		• Costs for *Customer owned* tooling *and gaging* ?
		• Alternative manufacturing methods?
		• *New materials?*
		• *Delayed timing to APQP timing plan?*
		Statistical Process Control Requirements:
		Is statistical process control required on product?
		Is statistical process control presently used on similar products?
		Where statistical process is used on similar products:
		• Are the processes in control and stable?
		• Are Cpks greater then 1.33?

Conclusion:

	Feasible	Product can be produced as specified with no revisions.
	Feasible	Changes recommended (see attached).
	Not Feasible	Design revision required to produce within the specified requirements.

CFT **Sign-Off:**

Title: Development Eng.		*Title: Dev. Eng. Mgr.*	
Signature & Date		Signature & Date	
Title: Application Engineer		*Title : Industrial Engineer*	
Signature & Date		Signature & Date	
Title: Forward Quality Eng.		*Director/Mgr. Engineering*	
Signature & Date		Signature & Date	
Director/Mgr. Quality		*Director/Mgr. Purchasing*	
Signature & Date		Signature & Date	
Production (B.U.) Manager		*Plant Manager*	
Signature & Date		Signature & Date	