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## **SUPPLIER QUALITY MANUAL**

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# UEA Supplier Quality Manual



United Equipment Accessories Inc.

### UEA Supplier Quality Manual

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Version:	2
Created by:	Dhaivat P (Quality Engineer)
Approved by:	Deb Malek (Operation Director)
Date of version:	8/15/2019
Signature:	<b><i>Dhaivat Patel</i></b>

### Distribution list

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**Rev Change History.**

<b>Date</b>	<b>Version</b>	<b>Created by</b>	<b>Description of change</b>
4/15/2016	0	Dhaivat Patel	Basic document outline
4/17/2017	1	Dhaivat Patel	Removed 4.1 and added general documentation requirements
1/24/2024	2	Dhaivat Patel	Added Section 11 and Section 12.

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## **1. Introduction and Purpose**

Between United Equipment Accessories Inc (hereafter refers to UEA) and its suppliers

### **Introduction**

This Supplier Quality Manual ("SQM") is furnished to guide the Supplier in comprehending their obligations towards United Equipment Accessories Inc. ("UEA") as established under the contractual relationship between UEA and its Suppliers, inclusive of both products and services. Suppliers bear the responsibility for the quality and delivery of their products and services. It is anticipated that Suppliers will deliver products and services devoid of defects, achieve 100% punctuality in delivery performance without any interruptions, and maintain timely responsiveness to issues pertaining to both purchasing and quality.

This SQM is predicated on the standards of ISO 9001. UEA mandates that its Suppliers adhere strictly to the stipulations outlined herein. Furthermore, UEA requires its Suppliers to develop and sustain a certified quality management system that aligns with the ISO 9001:2015 requirements.

### **Purpose**

The acceptance of a purchase order from UEA or the initial shipment of products by the Supplier shall signify the Supplier's concurrence with the provisions delineated in this manual, in addition to the terms and conditions specified in the Purchase Order This Supplier Quality Manual outlines the foundational supplier management guidelines governing the relationship between suppliers and United Equipment Accessories Inc. ("UEA") concerning quality data related to products and processes, appropriate corrective actions, technical support, and change management.

## **2. Scope of application**

This manual is applicable to all existing and prospective suppliers who furnish raw materials, procured parts/components, and subcontracted services that are integrated into the final product at United Equipment

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Accessories Inc. ("UEA"). Such suppliers are enumerated on UEA's approved supplier list. The obligation to provide quality parts and services punctually rests with the supplier. Furthermore, it is incumbent upon the supplier to ensure that its own sub-suppliers comply with the specifications delineated in this Supplier Quality Manual (SQM).

### **3. Distribution**

A copy of this manual, along with associated supplier forms, is readily available for access on our website.

### **4. Documents, Documentation and Records**

Information on lot traceability specific to the heats or lots of raw materials and purchased parts

- Results from tests conducted on products and services
- Records of calibration for test equipment
- Records of training for personnel to demonstrate qualifications related to parts from United Equipment Accessories Inc. (UEA)
- Records of changes to processes and products

## **5. Purchase Order**

### **5.1 Purchase Orders and Acknowledgements**

Suppliers are required to acknowledge Purchase Orders electronically within two business days to their respective Buyer at United Equipment Accessories Inc. (UEA). Confirmation by the Supplier is considered accepted unless the Supplier raises objections to them promptly (within two working days) through electronic communication. It is mandatory for the Purchase Order Number and line item to be referenced on all packing slips, invoices, advanced shipping notices, and any other corresponding documents.

### **5.2 Characteristics of Purchasing Documentation Types**

- **Purchase Order:** Utilized for the procurement of products, serving a contractual purpose. This includes:
  - Regular Purchase Order
  - Blanket Purchase Order

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- **MOU (Memorandum of Understanding):** A detailed outline of the daily operations of a supplier, which is non-contractual.
- **Delivery Schedule:** Also referred to as a forecast, and is non-contractual.

**Example of Regular Purchase order vs Blanket Purchase order**

Purchase Order

vs.

Blanket Purchase Order

**1** Purchase Order P300005517

United Equipment Accessories, Inc.  
2103 East Bremer Ave.  
PO 817  
Waverly IA 50677  
United States  
Phone: 319-352-3946

**2**

Page 1  
Date 1/11/2016  
Buyer Howard.Samarin

Ship Via  
FOB  
Terms Net 30 Days

**3**

United Equipment Accessories, Inc.  
2103 East Bremer Ave.  
PO 817  
Waverly IA 50677  
United States  
Phone: 319-352-3946

**4**

Our Order Number Must Appear On Invoice,  
B/L, Bundles, Cases, Packing List and  
Correspondence

Fax Sent Prior Do Not Duplicate     Verbal Placed Prior Do Not Duplicate

Line/Rel	Qty Ordered	Qty Due	Item Description	Due Date	Unit Price/Extended Price
<b>5</b> 1	<b>6</b> 10,000	<b>7</b> 10,000	123456-HJS1 15JH-654321 EA <b>8</b> HOWIE PURCHASED TEST ITEM	<b>9</b> 1/22/2016	<b>10</b> 15.00000 <b>11</b> 150.00
2	5,000	5,000	123456-HJS3 EA HOWIE PURCHASED TEST ITEM	1/29/2016	12.50000 62.50

Buyer/Purchasing Agent \_\_\_\_\_ Date \_\_\_\_\_ Manager \_\_\_\_\_ Date \_\_\_\_\_

**1** Purchase Order P300005518

United Equipment Accessories, Inc.  
2103 East Bremer Ave.  
PO 817  
Waverly IA 50677  
United States  
Phone: 319-352-3946

**2**

Page 1  
Date 1/8/2016  
Buyer Howard.Samarin

Ship Via  
FOB  
Terms Net 30 Days

**3**

United Equipment Accessories, Inc.  
2103 East Bremer Ave.  
PO 817  
Waverly IA 50677  
United States  
Phone: 319-352-3946

**4**

Our Order Number Must Appear On Invoice,  
B/L, Bundles, Cases, Packing List and  
Correspondence

Fax Sent Prior Do Not Duplicate     Verbal Placed Prior Do Not Duplicate

Line/Rel	Qty Ordered	Qty Due	Item Description	Due Date	Unit Price/Extended Price
1	100,000		123456-HJS1 15JH-654321 EA Revision: BBB Total Released: 100,000 Total Received: 0.000		
Rel: 1	<b>7</b> 25,000		<b>6</b> 25.00000000 <b>8</b> HOWIE PURCHASED TEST ITEM A	<b>9</b> 1/15/2016	375.00
Rel: 2	25,000		25.00000000 HOWIE PURCHASED TEST ITEM A	<b>10</b> 1/29/2016	375.00
Rel: 3	25,000		25.00000000 HOWIE PURCHASED TEST ITEM A	2/15/2016	375.00

Buyer/Purchasing Agent \_\_\_\_\_ Date \_\_\_\_\_ Manager \_\_\_\_\_ Date \_\_\_\_\_

**Purchase Order Number:** a. For a Regular Purchase Order, the PO Number is unique to that specific order. Once the items listed in the order are fulfilled and the full order quantity is shipped to meet the dock due date, the purchase order is considered complete. b. In the case of a Blanket Order, the PO Number remains consistent throughout the duration of the order until the total order quantity is fulfilled. However, it will comprise multiple line releases that cumulatively account for the total order quantity.



**Line-Item Number:** a. For both Regular Purchase Orders and Blanket Orders, each item ordered is assigned a unique line-item number. b. The distinction with a Blanket Order is that it will have a line-item number plus a release number for each subsequent release.

The primary differences are outlined above. A common issue encountered with Blanket Orders involves the scheduling of releases. For example:

- If there is a release scheduled for 1/4/16 with a due date of 1/20/2016, followed by another release on 1/11 with a due date of 1/25, the Purchase Order sent will display the two open lines. However, several suppliers mistakenly re-enter the first release as a new order, when it should already be accounted for in the order system.

It is crucial for suppliers to accurately identify each release to prevent the submission of duplicate orders. Should a duplicate order occur, it will be returned at the supplier's expense.

### 5.3 Standard Terms and Conditions of Purchase order

1. **Prices:** The order must not be filled at prices higher than those quoted by the Supplier as listed on the order unless written consent is obtained from United Equipment Accessories Inc. (UEA). The Supplier must extend to UEA any reductions in price that occur up to the actual time of shipment.
2. **Special Tools, Etc.:** If the production of any goods under an order necessitates the development or construction of special tools, dies, patterns, drawings, or other equipment by the Supplier, such equipment shall be exclusively used for manufacturing goods for UEA. Upon reimbursement for the reasonable costs of development and construction as agreed upon by UEA and the Supplier, UEA shall have the option to acquire absolute title and possession rights to such equipment. Additionally, Suppliers are responsible for maintaining it in a ready-to-manufacture condition.
3. **Nonconforming Goods and Services:** a. Goods must match the samples approved by UEA and adhere to UEA's specifications. UEA reserves the right to reject any part or all of a shipment and cancel any outstanding orders or shipments if nonconformity is found. b. UEA may either return rejected goods or retain them at the Supplier's expense. The Supplier is liable for all related costs, including handling, repackaging, examination, and reshipping.

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- c. UEA may opt to return rejected goods to the Supplier at the Supplier's risk and expense for replacement, credit, or refund. This does not limit UEA's right to seek damages for breaches, including consequential damages. d. Goods are subject to random sampling testing as per UEA's Quality Control Manual within thirty (30) days of receipt. Defects found during manufacturing or by testing are treated equally.
4. **Waiver:** UEA may waive non-performance of any condition or consider it a breach. Waiving a condition for one shipment or partial service does not extend to all shipments or complete services.
  5. **Material Condition Upon Delivery:** Shipping materials and packaging must be in perfect condition. UEA reserves the right to refuse damaged shipping materials or charge a sum equal to its new value.
  6. **Quality Non-Conformance:** A quality penalty of up to \$750.00 per occurrence may be applied for non-conformance. Rework charges to correct defective materials/parts to keep UEA production running are up to 100% recoverable, with a minimum of \$75.00 per man-hour.
  7. **Warranty Language:** Suppliers warrant that products sold to UEA will conform to specifications and be free from defects. The material and workmanship of the products must meet the Supplier's quality standards and UEA's requirements.
  8. **Late Deliveries:** Charges for assembly line downtime due to late deliveries are 100% recoverable at \$75.00 per man/hour. Suppliers may also be responsible for reimbursing 100% of premium freight charges incurred to maintain production assembly, which are above normal delivery fees.

## **6. Supplier Initiated Process changes.**

The Supplier is prohibited from implementing any changes without prior written notification to and approval from United Equipment Accessories Inc. (UEA).

UEA must be promptly notified by the Supplier in the event of non-compliance with the specifications mutually agreed upon (e.g., test procedures, test equipment, process sequences, deadlines, quantities, packaging, drawings, and agreements related to product and process quality). Furthermore, written approval from UEA's Quality/Purchasing Management is mandatory for any modifications.

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The Supplier is required to immediately inform the Purchasing and/or Quality Departments of UEA before undertaking any of the following actions:

- Implementing changes to the product or manufacturing process.
- Altering materials or vendor parts.
- Utilizing new or modified tools (if applicable).
- Relocating manufacturing facilities or operations.
- Modifying test equipment, instruments, or test procedures.
- Switching sub-suppliers or suppliers of primary and interim products.
- Making changes to packaging or labeling.

Such notifications will enable UEA to assess the potential impacts on itself and its customers before any changes are made. Accordingly, UEA may initiate appropriate actions, such as the reevaluation or auditing of new or altered processes/manufacturing locations. Additionally, submission and approval of the Production Part Approval Process (PPAP) are required upon UEA's request.

## **7. Supplier Evaluation**

### **7.1 Quality System Requirements**

The supplier is required to furnish evidence of a certified management system that either meets or surpasses the standards set in ISO 9001:2008, or any non-registered internal quality systems that have been previously approved by United Equipment Accessories Inc. (UEA).

### **7.2 Supplier Audits**

UEA reserves the right to conduct onsite process/system audits at any time, either when selecting a supplier or to assess the effectiveness of corrective and preventive actions. Suppliers will be notified in advance of such visits.

UEA may waive the requirement for audits in the following instances:

- Evidence of third-party certification by an accredited certification authority.
- Documentation showing effective implementation of measures specified during a previous audit and/or an actively pursued implementation plan.

Suppliers must inform UEA in a timely manner about any intended changes, including re-certification, acquisition of higher qualifications, expiration or loss of certification, as well as any special status conditions such as New Business Hold or Quality – Needs Improvement status.

UEA may initiate process/product audits under circumstances such as:

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- Supplier performance regarding quality or delivery failing to meet UEA's expectations or requirements.
- Implementation of new or changed processes.
- Significant changes within the supplier's management, or due to mergers or affiliations.

### **7.3 Supplier Evaluation: Performance Metrics**

UEA evaluates supplier performance based on:

- Product quality.
- Delivery schedule performance, including any premium delivery.
- Assessments from supplier self-survey forms and scorecards.

Quarterly/Yearly performance reports will be issued to all suppliers, highlighting quality and delivery achievements. Suppliers are expected to achieve a 100% quality and delivery rating. Those falling below 90% will be required to submit a documented corrective action plan.

UEA also monitors issues related to:

- Customer disruptions and field returns.
- Special status customer notifications incurred by the supplier.

Failure to enact effective corrective actions with demonstrable performance improvements may result in the supplier being removed from UEA's approved supplier list.

### **7.4 Management of Sub-suppliers**

Unless specified otherwise, the primary supplier has the sole responsibility for selecting its sub-suppliers. This includes all tasks related to the management of these sub-suppliers, ensuring their early involvement in any necessary activities.

## **8. General PPAP Requirements**

### **The Purpose of PPAP Submission**

The Production Part Approval Process (PPAP) submission aims to ensure that the supplier fully comprehends all parts requirements and possesses a manufacturing process capable of consistently producing compliant products. Upon ordering new or revised products, UEA's Purchasing Department will issue a purchase order specifying PPAP as a requirement. Suppliers are tasked with preparing and submitting the PPAP package to UEA before the shipment of production-intent products, unless this requirement is explicitly waived by UEA.

### **General Requirements for PPAP Submission**

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Detailed guidelines for PPAP submission will be provided to suppliers by UEA at the time of request. However, some general requirements include:

- Part Submission Warrant (PSW) form.
- Verification of full dimensions for three parts per tool or cavity.
- A sample barcode label that meets the specifications detailed on Page 17.
- Performance test results for one part, according to UEA's requirements.
- A Master Sample part, which should be retained at the supplier's facility and made available upon UEA's request.
- Process Capability study, with a minimum requirement of CpK or PpK at 1.33.

### **8.1 Quality Planning & Change Control**

Suppliers are required to engage in comprehensive and timely advance quality planning in collaboration with UEA to meet specified requirements. If no comparable specifications and regulations for a quality management plan exist, activities at the supplier's location should follow the AIAG Advanced Product Quality Planning (APQP) handbook, which outlines the minimum requirements. Suppliers are responsible for creating and assembling all documentation listed on the PPAP checklist and submitting the PPAP package to UEA's Quality Department by the agreed-upon date for evaluation.

#### **8.1.1 Initial Shipment of Parts**

UEA's Purchasing/Quality Department will communicate labeling requirements for sample parts for all event builds. Following PPAP approval, the initial shipment of new or changed parts to UEA's manufacturing locations must be marked with a brightly colored label indicating either "1st Shipment of New Parts" or "1st Shipment of Revised Parts."

### **8.2 Test Planning (Product/Process)**

Suppliers must coordinate production and test requirements, including any fixture concepts, with UEA. This applies to prototype, pre-production, and production parts. Suppliers must also provide proof of compliance with test specifications, based on technical requirements. The test planning should be documented in production process control plans or another format agreed upon with UEA. Control plans will feature important characteristics related to product and process, incorporating both UEA's specifications and the supplier's inputs and requirements.

### **8.3 Measuring & Test Equipment**

Suppliers selecting test equipment for specific measuring purposes/processes must adhere to the specifications set forth in the AIAG Measurement Systems Analysis

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Manual. Suppliers are required to demonstrate the reliability and accuracy of the measuring and test equipment used and ensure that the test process is appropriate for the intended purpose. Unauthorized modifications to the test equipment are prohibited. The test equipment must be included in the supplier's monitoring and calibration process.

## **9. Product Inspection and Process Control**

The supplier must maintain records of ongoing process and product control, making them available to United Equipment Accessories Inc. (UEA) upon request. In the event of a failure, the supplier is required to promptly analyze potential causes, implement corrective measures, and demonstrate the effectiveness of these measures. Additionally, the supplier must permit UEA, its customers, or their representatives to verify at the supplier's premises that the purchased product or service complies with specified requirements.

A system for tool management, including regular and preventive maintenance and repair for equipment and tools, must be established and maintained by the supplier. Documentation of tool management and changes is mandatory.

### **9.1 Reference Parts/Samples**

After the completion of a production lot, a last-off piece should be retained as a reference sample upon UEA's request (not all parts are required to be retained; UEA will issue a special request when necessary). The quality of the last production parts should be compared with the quality standards outlined in specifications and control plans.

If a defect is detected, the supplier must identify the affected quantity, contain the defective parts, and proceed with rework and/or scrapping them. Rework procedures must be readily accessible at the rework station, and a quality test, equivalent to the standard production process test, must be conducted post-rework to ensure the parts meet acceptable quality levels.

In instances where defective products may have been shipped to UEA, the supplier is expected to alert the relevant UEA location(s) and initiate containment measures.

### **9.2 Handling/Storage/Packaging and Delivery**

Suppliers are required to employ suitable handling, storage, packaging, and delivery methods to prevent any negative impact on product quality. Unless

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UEA specifies otherwise, packaging responsibilities fall to the supplier. All products shipped to UEA must feature an approved, legible barcode label containing, at minimum, the following information:

- Purchase Order Number
- Part Number
- Revision Level
- Part Description
- Part Quantity and Weight
- Supplier Name, Address, and Phone Number
- Supplier Part Number
- Manufacturer's Lot Number & Serial Number
- Manufacturing Ship Date

This comprehensive approach ensures consistency, quality, and traceability of products delivered to UEA, reinforcing the commitment to maintaining high standards throughout the supply chain.

Packaging Label:

From: Supplier Name Supplier Street Address Supplier State Address Contact Name Contact Phone number Country of Manufacture: XX		To: United Equipment Accessories 2103/2105 E. Bremer Ave Waverly, Ia. 50677	
Part Number: 123456789 Barcoded Part number		Purchase Order Number: P300004445	
Part Description: Encoder		Qty: 50 Barcoded Part Number	
Revision Level: A		Supplier Part Number: 6201-2Z	
Gross Weight: 3 lbs		Attn:	
Ship Date: 10/9/2016	Serial Number: 70602343	Lot Number: 123456	

In case of any deviation from these packaging requirement, pre-approval is required, please contact the buyer.

**10. Non-Conforming (Discrepant) Product**

**10.1 Managing Discrepant Product**

Non-conforming or discrepant products are defined as any deviation from the specifications outlined in drawings or purchase orders, including but not limited to quantity, quality, packaging, material, labeling, handling, shipping, cleanliness, dimensional, or performance issues. Products identified as defective at the supplier's facility, including those caused by a sub-supplier, must be managed effectively to prevent discrepant material from being received by United Equipment Accessories Inc. (UEA).

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Should there be any risk that defective parts have been delivered to UEA, the Quality Department at all relevant locations must be informed immediately to determine appropriate containment measures. This also applies to defects identified at a later date. Instructions from the UEA Quality Department regarding containment and remediation must be adhered to, with supporting data submitted to UEA for traceability.

UEA Engineering, Quality, or Purchasing Department may authorize deviations from specifications if there are no expected adverse effects on function, durability, or safety. These exceptions are only valid for a specified delivery period or quantity and must be properly documented.

### **10.2 Processing of Supplier Non-Conformance**

Upon identifying defective purchased parts or services at UEA, a Non-Conformance Report (NCR) is initiated and emailed to the supplier. A decision on the handling and containment of such parts is made in cooperation with the supplier, and a Return Material Authorization (RMA)/Return Goods Authorization (RGA) number is requested.

This decision may involve:

- Immediate return of the entire shipment to the supplier, with replacement stock provided timely to avoid production disruption.
- Sorting by a third-party provider, subject to UEA approval. Utilizing a third party does not absolve the supplier of their quality or delivery responsibilities.
- Sorting measures at UEA, potentially including rework by the supplier at UEA's location, with incurred costs recoverable from the supplier.

### **Disposition of Rejected Materials**

Upon notification, a containment plan is required within 24 hours. The supplier should provide the disposition of material at UEA by issuing an RGA number, advising if they will sort and/or rework at UEA, or requesting UEA to initiate sorting and/or reworking operations.

If no response is received within the prescribed timeframe, UEA may take necessary actions to ensure part availability and minimize production downtime. This includes initiating sorting and/or reworking prior to authorization. All related costs fall to the supplier.

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If return is requested without specifying a shipping method, UEA will choose the most cost-effective option, with costs borne by the supplier. Refusal to accept the shipment will result in the parts being scrapped and costs debited from the supplier's account.

### 10.3 Corrective & Preventive Action

Suppliers must communicate corrective measures for non-conformance issues using the UEA 8D corrective action form, issued upon identification of supplier-related non-conformance. The general format for the 8D corrective action requires:

- A containment plan within 24 hours of CAR submission, including clean-point information, status of parts in route, status of complete/in-process inventory, identification method for cleared material, disposition of rejected shipment, and a description of immediate actions for short-term delivery requirements.
- A permanent corrective action plan within 30 calendar days from notification, including root cause analysis, verification of control and prevention measures, and a review of similar features on related parts.

In cases where the implementation and validation of permanent corrective actions exceed 30 days, any delay must be reviewed and agreed upon between the supplier and UEA.

<b>1.a) Non-Conformance Description</b>									
Date Opened:				Type:	Supplier	Customer	Internal	CAR #:	
Originated By:				Audit	ICE (final audit)	Other	Assigned To:		
<b>1.b) Supplier Information</b>				<b>1.c) Part Information</b>			<b>1.d.) Customer Information</b>		
Company:				Assembly #:			Company:		
Plant Location:				Component #:			Plant Location:		
Contact Name:				<b>Part Description:</b>			Customer Ref.:		
Contact Phone:							Contact Name:		
Contact E-Mail:							Contact E-Mail:		
<b>1e.) Problem Solving Team (Bold Owner)</b>				<b>1g.) Problem Statement: (Quote Customer if Possible)</b>					
<b>1f.) Problem Identification</b>									
Effect/Complaint:									
Requirement/Specification:									
Deviation from Requirement:									
Where Found:									
Repeat Occurrence?	Y	N	Ref#:						
Qty:	Sample Size								
<b>2) Identify Containment &amp; Short Term Actions (24 hour Response)</b>									
<b>2a.) Stock Containment Action</b>					<b>2b.) Containment Information</b>				
Location	Total Qty	NCM Qty	Date Initiated:	Serial First:	Serial Last:	<b>Target Date</b>			
1.) In House						January 1, 1900			
2.) In Transit						<b>Complete Date</b>			
3.) At Supplier									
4.) At Customer									
5.) Other									
<b>Totals</b>	<b>0</b>	<b>0</b>							
Hourly Inspection Cost:	\$0.00		Supply Clean Date:	N/A	Clean Shipment Ref:	N/A			
Hourly Inspection Qty:	0		Internal Clean Date:	N/A	Sort Instruction:	YES	X	NO	
Estimated Inspection Cost:	#DIV/0!		Quality Alert Date:	N/A	Actual Defect Rate:	#DIV/0!			
<b>3) Find and Verify Root Cause Analysis (30 Day Response)</b>									
<b>3a. Ask these questions first:</b>				YES	NO	<b>3b.) Select RCA Method. Click photo for template</b>			
Was it the correct process?						 <b>Fault Tree Analysis</b> Use this method for complex problems			
Was it the correct tool/fixture?						 <b>5 Why Analysis</b> Use this method to drill down 'deep' when a root cause is found			
Was it the correct part?						<b>Target Date</b>			
Has something changed in the process?						January-00			
Has something changed in the design?						<b>Complete Date</b>			
Is the process in control?									
Do all components meet requirements?									
<b>3c.) Identify possible Causes and Rank Importance (Highlight determined Root Cause)</b>									
Cause #	Potential Root Cause						Rank	% Prob.	
1									
2									
3									
4									
What was the cause of this defect?									
How was the defect allowed to escape?									
<b>4) Choose and implement Corrective Action (90 Day Maximum Response)</b>									
<b>Defect Preventive (Occurrence) Corrective Actions</b>					Who	Date	Date	Status	
1.)									
2.)									
<b>Detection Corrective Actions</b>									
1.)									
2.)									
<b>System Corrective Actions</b>									
1.)									
2.)									
3.)									
ETA of Clean Material:	Invoice #:	Response Completion Date	Assembly Serial Number First:						
Target Implement	March 30, 1900	Response Completion Date	October 17, 2015	Person Completing CAR					
<b>5) Control and Standardization</b>									
<b>5a.) Statistical evidence to support closure (attach/link as applicable)</b>					<b>5c.) Affected Doc. Update (strikethrough complete)</b>				
#	Test and Observations	Outcome			Document Type	Doc #	Target Date		
1					PFMEA				
2					Control Plan				
3					Work Instructions				
4					100 % Inspection				
5									
<b>5b.) Systemic Process Improvement</b>					TPM / 5CPM				
Has a Poka-Yoke been implemented?					YES	NO	Packaging		
Have similar processes been reviewed?					YES	NO	Training Doc		
Reoccurrence over the past 90 days?					YES	NO	MQV		
Have all noted actions been closed?					YES	NO	LPA/Other		
<b>6) Approval / Validation (forward to CAR team for approvals)</b>									
Stage	Approval Dates		CAR Team Comments						
	Accepted	Implement							
Containment									
Root Cause									
Corrective Action plan									
Control Verification									
Full Closure is granted upon team acceptance and verification of Corrective Action									
Closure Approvals								Close Date:	

### Quality Notifications (LINE REJECT SUBJECT TO PPM)

Parts identified on the production line as unusable due to supplier defects are classified as line rejects. Upon such discovery, the Production Line Quality Technician will generate a Quality Notification (QN). The nature and frequency of the issue will determine whether the QN is categorized as a “LINE REJECT SUBJECT TO PPM” or a “LINE REJECT WITH QZ PENALTY.” Each QN will detail the defects for each part mentioned. The QN is then sent to the supplier, requesting a disposition for the line rejects.

PPM (Parts Per Million) is calculated as:

$$\text{PPM} = \frac{\text{Line Rejects YTD}}{\text{Total "Accepted" Quantity Received YTD}} \times 1,000,000$$

Suppliers may request a monthly PPM rate for review if desired. The goal is to achieve a PPM of 500 or less for all supplied parts, unless an alternative target is agreed upon in advance between the Buyer and the Supplier.

#### 10.4 Cost Recovery Process

UEA will identify costs associated with the complaint and issue a Debit Memo. UEA Purchasing will review and approve the Cost Recovery, debiting the Supplier for the incurred costs.

#### 10.5 Poor Supplier Performance

In cases of non-compliance with established goals, the Supplier is required to develop an improvement plan and submit it to UEA Purchasing. Failure to implement effective corrective actions for Quality or Delivery performance will lead to the Supplier being removed from the UEA A-List of approved Suppliers.

#### 10.6 Escalating Process

For severe or critical failures (criteria include repeated occurrences, risk of production shutdown, or customer complaints), UEA reserves the right to place the supplier under containment as follows:

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- **100% inspection of outgoing goods at the supplier's facility** for a minimum of 20 days (or a minimum of 3 consecutive shipments) without defects. The Supplier must maintain inspection records and provide them to UEA.
- **100% inspection of outgoing goods at the supplier's facility by a certified Third-Party**, funded by the Supplier, for a minimum of 20 days (or a minimum of 3 consecutive shipments) without defects. Inspection records must be maintained by the Supplier and provided to UEA.

This escalated process is designed to ensure the Supplier addresses and rectifies the root causes of failures, maintaining the quality and reliability of parts supplied to UEA.

## **11. Environmental Protection and Hazardous Material**

### **11.1. Compliance with Legal and Regulatory Requirements**

Suppliers are mandated to fully understand and comply with all applicable local and national environmental laws and regulations. This commitment requires:

- **Regular Monitoring:** Staying informed of legal and regulatory changes.
- **Operational Compliance:** Ensuring compliance in all operational areas, including material handling and waste management.

### **11.2. Proactive Environmental Protection Measures**

In addition to compliance, suppliers are urged to actively engage in environmental protection by:

- **Risk Identification:** Assessing environmental risks from their operations and hazardous materials.
- **Risk Mitigation Strategies:** Developing strategies that not only meet but potentially exceed legal requirements.

## Added Supplier Responsibilities

Expanding upon these basic requirements, suppliers have additional responsibilities towards environmental protection and hazardous material management:

- **Risk Assessment:** Conduct thorough environmental risk assessments related to operations and materials handled, stored, or transported.
- **Environmental Management Systems:** Implement an Environmental Management System (EMS) that adheres to international standards such as ISO 14001, to manage environmental impacts systematically.
- **Training and Awareness:** Ensure comprehensive training and awareness for all employees about their roles in environmental compliance and risk mitigation.
- **Emergency Preparedness and Response:** Develop and maintain robust emergency response plans for incidents involving hazardous materials.
- **Sustainability Initiatives:** Commit to sustainability efforts that surpass mere compliance, aiming to reduce resource use, minimize waste, and invest in clean technologies.
- **Stakeholder Engagement:** Proactively engage with communities, regulatory agencies, and other stakeholders to address environmental issues and promote transparency about environmental performance.
- **Continuous Improvement:** Continually assess and enhance environmental performance, striving for perpetual improvement in environmental protection efforts.

Adopting these practices enables suppliers to not only meet legal obligations but also to make a significant positive impact on environmental sustainability and corporate social responsibility. This proactive approach can enhance their reputation, improve risk management, and potentially lead to lower operational costs, benefiting both the environment and the supplier's bottom line.

## **12. Ethics and Child Labor Policy**

### **12.1 Commitment to Ethical Conduct**

Suppliers are expected to uphold the highest standards of ethical behavior in all aspects of their business, including honesty, integrity, and respect for human rights.

### **12.2 Child Labor**

- **a.** The use of child labor is strictly prohibited. "Child" is defined as anyone below the age of 15 (or 14 in countries where the law allows), or below the age for completing compulsory education, or below the minimum age for employment in the country, whichever is highest.
- **b.** Suppliers must comply with ILO Convention No. 138 on the minimum age for employment and ILO Convention No. 182 on the worst forms of child labor.
- **c.** Legitimate workplace apprenticeship programs for youth that comply with all laws and regulations are encouraged.

### **12.3 Young Workers**

Suppliers that employ young workers must adhere to local laws regarding their working conditions and restrictions, ensuring their safety, health, and welfare.

### **12.4. Freely Chosen Employment**

- **a.** Labor must be voluntary, with no use of forced, bonded, or indentured labor.
- **b.** Suppliers must not engage in or support the use of forced labor, including prison labor, debt bondage, or labor from trafficking victims.

### **12.5. Fair Treatment**

- **a.** Workers must be treated with respect and dignity.
- **b.** Suppliers must prevent any form of harassment, abuse, or intimidation against their workers.

### **12.6. Wages and Benefits**

Suppliers are required to provide wages, overtime pay, and benefits that meet or exceed the legal minimum or industry benchmarks, whichever is higher.

### **12.7. Freedom of Association**

Workers have the right to join or form trade unions and to bargain collectively. Suppliers must respect workers' rights to legally and peacefully associate, organize, and engage in collective bargaining.

### **12.8. Monitoring and Compliance**

Suppliers must keep all documents necessary to prove compliance with these ethical and child labor policies. Periodic audits by United Equipment Accessories Inc, or its designated third-party, will be conducted to ensure adherence.

### **12.9. Reporting Violations**

Violations of this policy must be reported immediately to United Equipment Accessories Inc. Suppliers should provide a mechanism for workers to report grievances and violations without fear of retaliation, ensuring a safe and ethical working environment.

## **13. SQM Validity and Acknowledgement**

This Supplier Quality Manual remains valid and in effect for the entire duration of the business relationship awarded between the supplier and United Equipment Accessories Inc. (UEA). Any revisions to this manual will be promptly provided to the supplier by UEA upon their availability.

### **Supplier Acknowledgement**

United Equipment Accessories has meticulously crafted this Supplier Quality Manual to convey, clarify, and document our standards and expectations

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to all our current and prospective suppliers. Upon release, a revised copy of this SQM will be supplied to all relevant parties.

**We request that a representative of the supplier sign and return this acknowledgment page to their respective buyer at UEA, signifying that the UEA SQM has been received, and that the supplier comprehends and agrees to abide by the contents and stipulations outlined within this SQM.**

<b>Supplier Name</b>	
<b>Supplier Address &amp; Phone</b>	
<b>Name &amp; Email of Supplier Contact</b>	

<b>Department</b>	<b>Signature</b>	<b>Date</b>
Quality Department		
Purchasing Department		