Johnson Matthey

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Clean Air Sector Suppliers Customer Specific Requirements



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0 Introduction

0.1 Purpose and Scope

To describe the Customer Specific Requirements for the Suppliers of direct materials (substrates, PGMs, chemicals) and services providers within the Johnson Matthey Clean Air Sector. Suppliers shall familiarise themselves with the requirements and ensure compliance with them.

If the Supplier is unable to comply with any Customer Specific Requirements stated in this document, the deviation must be approved by JM in writing.

0.2 Overview of the Clean Air Suppliers Customer Specific Requirements

The Manual is split into 5 sections:

Section 1: General Requirements
Section 2: Specific Requirements:
- Packaging and Labelling;
- Shipping Paperwork;
- Material Safety;
- Pre-shipment of Samples;
- Quality Documents;
- Commercial Process;
- Operational Notes.

Section 3: Change Management Requirements
Section 4: Waivers Requirements
Section 5: Acronyms and Definitions

1 General Requirements

1.1 General Principles

Clean Air direct material Suppliers and service Suppliers are committed to supply:
- the right product,
- at the right quality & quantity,
- at the right time,
- in the right price

Clean Air is committed to continual improvement, and it expects the same commitment from its Suppliers. Suppliers shall implement a defined process to drive continual improvement across all levels of their business.

1.2 Management System Requirements

All Suppliers shall be certified as minimum to ISO 9001 or equivalent by an accredited certification body.
Substrate Suppliers for Automotive application should be certified to IATF 16949 by an accredited certification body or, if they are not yet certified, should aim to work towards accreditation to IATF 16949.
Direct Material Suppliers shall carry out self-assessment in accordance with ISO 14001 and ISO 45001 requirements and to work towards certifications to these standards.
The first step towards achieving this goal is adherence to the JM Supplier Quality Manual and Clean Air Sector Suppliers Customer Specific Requirements.
Unless otherwise confirmed in writing by JM, all direct material Suppliers shall be responsible for design and development of their products. All business processes associated with the manufacture and supply of product to Clean Air shall be covered in the scope of Supplier's management system.

1.3 Audits and Access to Supplier Management System and Facilities

JM may conduct periodic audits of the Supplier's management system, processes and products to ensure compliance with applicable requirements. Periodic on-site audits will be conducted based on the review of supplier performance and risks, with a primary focus on:

- Suppliers that:
  - are developing new/high risk materials;
  - are moving/building new production sites or installing new production lines;
  - are supplying material in all regions;
  - have changed ownership.
- Suppliers whose quality and delivery performances are very poor or whose products presented major non-conformities;
- Suppliers that presented major non-conformities during latest audit (B/C rating);
- directed Suppliers providing substrates (not designated by OEM);
- potential Suppliers during on-board process.

In case of **System Audit**, JM will use ISO 9001 or, for Substrate Suppliers - IATF 16949 approach.
For Substrate Suppliers, in case of **Process Audit** JM will use VDA 6.3 approach, in case of **Product Audit** - VDA 6.5 approach.

The Supplier shall provide access to enable audits to be performed, including but not limited to the following:

- areas related to the manufacture, storage, testing and calibration of product and services supplied to JM;
- training and competency records;
- relevant documentation (e.g. FMEA, control plans, evidence of material approval, accreditations, accredited scope of work etc.);
- EHS related data for the Supplier's locations.

Reasonable restrictions to ensure confidentiality of Supplier information will be permitted.

In cases where on-site audits can't be conducted due to unavoidable circumstances, the Supplier may be requested to complete the JM Self-Assessment questionnaire.

1.4 JM Supplier Management System Requirements

All Suppliers shall ensure fulfilment of the SMS requirements in a structured and timely manner.

- whenever Supplier received any Supplier Concern Notice (SCN), supplier shall acknowledge the notice and containment actions within 48 hours, submit a root cause analysis within 7 days, and implement and communicate corrective & preventive actions (CAPA) within 90 days;
- Supplier shall bear all costs associated with segregation, re-inspection, testing, and any consequential disruption to JM manufacturing resulting from Supplier-related concerns;
- Supplier performance shall be monitored on monthly basis with evaluation of quality performance and delivery performance. If the quality performance and delivery performance below define limits, JM may employ an escalation process to ensure delivered product/service quality;
- Annual Supplier rating shall be evaluated based on different assessment metrics. If a Supplier receives a rating of "C", an improvement action plans shall be submitted to address the performance gaps. For Supplier with rating "D", JM will hold the business until Supplier get re-assessment rating "C" and above;

- Supplier shall complete process risk assessments i.e. FMEA at each location where parts/materials are manufactured; any subcontracted or outsourced processes shall be included in this risk assessment;
- material manufacturing Suppliers should perform annual material requalification to verify continued compliance with all specified requirements unless otherwise agreed in writing by JM. Documented evidence of requalification activities and results should be maintained and made available upon request;
- Supplier shall be responsible for supervising its sub-suppliers, ensuring their processes, products and services comply with JM's quality requirements. Supplier shall establish appropriate controls to monitor sub-supplier performance, manage associated risks, and implement development and improvement activities with key sub-suppliers to ensure continued compliance and supply chain performance;
- in the event of warranty claims or issues reported to JM by the end customer, Supplier shall support the analysis and investigation process. This support shall include, wherever applicable, timely provision of relevant data, samples, technical expertise, root cause analyses, and CAPA to facilitate the effective resolution of the issue and prevent recurrence;
- Supplier shall protect JM's information from loss, unauthorized access, disclosure, alteration or destruction by implementing appropriate information security and cybersecurity controls. Any cybersecurity incidents or data breach that could impact product quality, data integrity, confidentiality or continuity of supply shall be promptly reported to JM with corrective actions taken;
- Supplier shall provide JM with contact details of a nominated representative at each supplier locations who can be contacted by JM regarding product safety and product liability matters throughout the supply chain.

2 Specific Requirements

2.1 Packaging and Labelling

All packaging configurations for substrates and chemicals must be pre-approved by the Global Procurement/Site Procurement Manager/Site Supply Chain Manager prior to commencement of production shipments. No changes to packaging configurations may be made without prior approval.

- pallets must meet customs regulatory requirements of the requesters' country. Use of PVC-containing plastics, wood preservatives, impregnation agents, heavy metals containing printing inks, PUR foam, particle boards, block boards and composite cardboards packaging materials is prohibited. JM will promote maximum use of recyclable materials, cardboard as void-fill material, FSC certified pulp, sulphite process pulp and LDPE film for protective wrapping of pallets;
- all pallets shall be either single-face or double-face, unless otherwise approved by the receiving JM site, to meet site-specific requirements and ensure compatibility with battery operated pallet trucks (BOPT), hand-pallet lifters, stackers or forklifts;
- only one lot number is permitted per pallet;
- the maximum net weight of material contained on single pallet shall not exceed 1,000 kg. For pallets containing small bags, pails or drums then the maximum weight of each individual bag, pail or drum shall not exceed 25 kg (shall not exceed 10 kg for South America region) while the total net weight of pallet shall remain within 1,000 kg;
- pallets of bulk bags and drums cannot be double stacked within the container;
- pallet with multiple bulk bags must be pre-approved to have multiple bags on pallet;
- each pallet or bag or pail or drum must be labelled with a waterproof label featuring black print on a white background. The label must be affixed to both the front and rear fork-list sides and must contain the lot number, quantity, product name and material number (material number can be found on the purchase order). It is preferred that the lot number, quantity and material number be available in both Data Matric Code (DMC) and human readable;

- a pallet label shall be affixed to the stretch wrap, whenever bags, pails, or drums are stretch wrapped;
- the country of origin must be clearly marked on labels or individual containers;
- each individual container must contain the GHS (Globally Harmonized System of Classification and Labelling of Chemicals) labels;
- service provider shall ensure that loads are properly distributed during handling, storage and transportation to prevent damage of material or equipment. The service provider shall ensure the safety and integrity of material, maintain compliant labels, material identification labels and hazard labels where applicable.

2.2 Shipping Paperwork

All shipping documents for substrates and chemicals should be pre-approved by the Global Procurement/Site Procurement Manager/Site Supply Chain Manager prior to commencement of shipments.

- all documentation submitted to JM Clean Air shall be in international language i.e. English;
- each shipping container must include an individual packing list; it clearly identifies the material contained in that specific container;
- every packing list must include the PO number and the Part number/RM number, lot number and quantity for each lot;
- certificates of Analysis (COA) for each production lot must accompany the material shipment;
- at the time of shipment, the Supplier must provide an ASN or an Excel spreadsheet containing the part number, PO number, quantity, lot number and pallet number. If any lot in the shipment is a PPAP lot, it must be clearly identified in the ASN or excel spreadsheet;
- to ensure timing filing of the BoE and/or ISF (Importer Security Filing) to be filed timely, JM requires Suppliers to strictly follow the BoE or ISF instructions and submit all commercial paperwork at least 7 days prior to shipping or vessel loading. All commercial paperwork must reference the "Ship To" and "Bill To" addresses as mentioned in JM purchase order. Commercial paperwork may include, but is not limited to, the Bill of Lading/Airway Bill, Commercial Invoice, Packing List etc. according to the JM. Noncompliance with JM requirements may result in shipment delays, storage charges, customs penalties or other associated costs, all of which shall be borne by the Supplier;
- paperwork required to the PSW batch of new material must have Production Part Approval Process (PPAP), Part Submission Warrant (PSW), Supplier Drawings and Safety Data Sheets (SDS) or any other paperwork requested by JM Clean Air purchasing site;
- supplier shall maintain all documents and records for the minimum retention period of 15 years required to demonstrate compliance with:
  - legal requirements i.e. Shipping documents, SDS, ELV, RoHS, REACH, POPs;
  - JM specific requirements, including copies of process control plans;
  - JM specification requirements, including certificate of analysis (COA);
  - traceability requirements, including raw materials utilized through final product shipment;
- service provider shall ensure that transportation documents, delivery notes, proof of delivery (POD), COA, SDS and testing or calibration certificates where applicable are provided in either electronic or hard copy format.

2.3 Material Safety

Suppliers shall ensure compliance with all applicable environmental, health and safety regulations, primarily through the provision of a complete 16-section Safety Data Sheet (SDS).

- safety data sheets shall be provided prior to any shipment of material including sample shipments to JM Clean Air;
- SDS documents already submitted to JM do not need to accompany every shipment unless a revision has been made;
- suppliers are responsible for promptly providing updated safety data sheets to JM whenever revision occurs;
- all materials shall comply with applicable environmental protection laws, safety regulations, and industry-specific standards including frameworks such as REACH (Registration, Evaluation, Authorization and Restriction of Chemicals);
- suppliers shall comply with all applicable safety and transportation regulations during handling and transport of non-hazardous, hazardous, flammable, corrosive, oxidizing and pyrophoric materials;
- SDS shall include information related to safe handling, storage conditions, stability, reactivity and disposal considerations;
- SDS shall also include first-aid measures, fire-fighting measures and accidental release measures;
- suppliers should provide detailed technical information regarding the substance, including its physical state and potential health effects;
- suppliers certified for IATF 16949 requirements shall have documented processes for the management of the product safety related products and manufacturing processes in accordance with item 4.4.1.2 Product Safety of IATF 16949 standard. The Supplier shall provide information about Product Safety responsible personnel to JM.

2.4 Pre-shipment of Samples

All pre-shipment samples must receive initial approval from the Global Procurement/Site Procurement Manager/Site Supply Chain Manager prior to the commencement of shipment activities.

- pre-shipment samples shall be packaged in a suitable, leak-proof container, preferably a sealed vial, containing approximately 100 g or 100 mL of material;
- pre-shipment samples must be dispatched through DHL, FedEx or an equivalent courier service to ensure safe and timely delivery well in advance of the production shipment for approval purposes;
- each pre-ship sample shall be properly labelled with product name, raw material number and lot number;
- JM will coordinate for all the requirements of pre-shipment samples i.e. delivery address and contact person(s) detail.

2.5 Quality Documents

Supplier shall ensure compliance with all the quality documentation required to purchase orders released by JM Clean Air.

- supplier shall ensure that a COA and/or COC are provided for each lot prior to material shipment;
- specialty gas supplier shall provide a certificate of purity or certificate of composition for mixed gases, as applicable, in either electronic or hard copy format;
- for any calibration or test report, service provider or Supplier shall ensure that the calibration and testing parameters are covered under the scope of ISO/IEC 17025 accreditation and shall provide traceability certificates of master equipment used during equipment calibration;
- in case where the OEM is not accredited as per ISO/IEC 17025, OEM shall ensure the use of validated national or international standard methods;
- supplier or service provider shall ensure only material certified by NIST or National Metrology Institute are used for calibration and testing activities;
- supplier shall implement and maintain documented corrective and preventive action (CAPA) procedure for any non-conformance reported by JM Clean Air.

2.6 Commercial Process

Supplier shall ensure compliance with all the commercial documents related to purchase order released by JM Clean Air.

- supplier shall ensure an order acknowledgement at the earliest, preferably within 48 hours of receiving of the purchase order;
- no material shall be shipped to JM without a valid purchase order;
- pre-shipment or revalidation materials shall require a no-charge purchase order from respective JM Clean Air site prior to shipment;
- trial parts or materials to be returned shall require a no-charge purchase order to be released to the appropriate JM contact;
- invoices must include the PO number, material description, JM material number (if applicable), lot number, quantity, value for customs purposes and commodity code;
- any import of hazardous substances shall include a DGN. The Supplier must fully and accurately declare the contents of each consignment in the DGN;
- all commercial documents i.e. commercial invoice, bill of lading, AWB must be shared with JM buyers at least 7 days prior to shipment dispatch;
- service providers shall submit commercial invoices upon completion of the service and in accordance with the agreed payment terms;
- any modifications/changes to commercial documents or shipment schedules should be communicated to JM buyers immediately upon receipt to avoid custom penalties resulting from delayed documents submission;
- failure to provide the correct commercial documents within the specified timelines will be treated as a quality concern and an SCN will be raised. If such delays also impact customs clearance and delivery timelines, the shipment will additionally be treated as a late delivery;
- all commercial documents must be handed over to the carrier at the time of shipment pickup.

2.7 Operational Notes

JM Clean Air has set some operational rules for safe and smooth movement of man, material and machine, these are covered under

Site Rules

- all Suppliers, service providers and drivers shall comply with JM EHS behaviours during entry, loading, and unloading activities;
- PPE requirements, speed limits, and designated area in case of emergency within the site shall be strictly followed;
- smoking and photography are prohibited in the JM Clean Air;

Mixed Lots

- mixed lots within the same pallet or shipment are not permitted unless specifically approved by JM;
- each lot shall be clearly segregated and identified with the appropriate labels and documentation;

Double Stacking

- double stacking of pallets is not permitted unless the packaging design and material stability have been validated and approved by JM;
- all Suppliers should ensure that stacked pallets do not create any safety or product damage risks during transportation or storage;

Warehouse Limits

- deliveries shall be planned in accordance with warehouse storage capacity and agreed inventory limits;
- all Suppliers shall coordinate with JM buyers prior to dispatching any deviation in the shipment quantity;

Dimensions

- packaging dimensions shall comply with approved pallet and container specifications provided by JM Clean Air;
- oversized shipments shall require prior approval before dispatch;

Weights

- pallet and package weights shall comply with transportation and manual handling limits defined by JM and local regulations;
- gross and net weights must be clearly indicated on shipment labels and commercial documents;

Damage

- all materials must be adequately packaged to prevent damage during transportation and storage;
- any damaged pallets, packaging, or material identified during receipt inspection may be rejected or quarantined by JM;

Automatic Rejection (if applicable)

- shipments may be automatically rejected in case of incorrect labelling, damaged packaging, missing documentation, expired shelf life, contamination, or non-compliance with JM specifications;

Vehicle Information Requirements

- vehicle details including vehicle number, driver name, contact number, and estimated arrival time shall be shared prior to dispatch;
- vehicles used for transportation shall be clean, dry, and suitable for the material being transported;

Contact Information

- suppliers shall maintain updated contact details for logistics, commercial, and emergency coordination;
- JM contact details for delivery coordination shall be shared separately by the receiving site;

Hours of Operation

- standard receiving operations shall be conducted during the official working hours defined by the respective JM site;
- any deliveries outside standard working hours shall require prior approval;

Delivery Windows

- suppliers shall adhere to the assigned delivery windows to avoid unloading delays and warehouse.

3 Change Management Requirements

The Supplier shall implement a defined change management process, which shall also include changes initiated by JM within its scope.

If the Supplier intends to make any change that may affect the physical and/or chemical properties of a material or product or service supplied to JM, the Supplier shall always notify JM in writing at least 3 months prior to implementation of such change. Upon receiving such notification, JM will specify the required notice period for implementing the proposed change.

Unless otherwise agreed specifically with JM any change in **Material, Substrate and Service** shall be communicated to JM Clean Air via email to JM contact person(s). Any change requiring JM review and approval shall not be implemented until written approval has been received from JM.

All Supplier change requests will be processed via JM Management of Change (MoC) process. Depended on type of change, different JM functions will be involved and the decision about Supplier's set of data (JM may require a PPAP/PPA submission, production trial run, capability study, material validation, dimensional validation or other evidence prior to approval) and required re-validation on JM side will be communicated to Supplier.

Changes that require involvement of JM Clean Air functions and re-validation decision:

Type of Change	Requires re-validation	Procurement Supplier Chain	Quality
Specification/Material Changes:			
Change to JM-identified key characteristics	Yes		Yes
Change to supplier-identified key characteristics	Possible		Yes
Change to JM specification range (e.g. targets and (widening or narrowing limits)	Possible		Yes
Change to marking, packaging and labelling	Possible	Yes	Yes
Change to handling and health and safety requirements at Johnson Matthey	Possible	Yes	Yes
Sub-Supplier Changes:			
Change of material	Possible	Yes	Yes
Change of material supplier	Possible	Yes	Yes
The acceptance of a change request from a supplier affecting their product specification	Possible		Yes
Plant/Equipment Changes:			
Change or an introduction of a new production location	Yes	Yes	Yes
Change or introduction of production plant – same location	Possible		Yes
Change of production line – same plant	Possible		Yes
Change of production equipment on a line	Possible		Yes
Change of manufacturing equipment components including tools on a production line with new, transferred, different, replacement or enhanced functionality	Possible		Yes
Change of manufacturing equipment components with same functionality	No		Yes
Process Changes:			
Change to process flow	Yes		Yes
Change to process set points	Possible		Yes
Change of process set point tolerances	Possible		Yes
Change to the severity rating of any item on a product or process risk assessment	Possible		Yes
Change or update of item on the control plan (including key characteristics)	Possible		Yes
Change in batch size	Possible		Yes
Analytical Changes:			
Introduction of a new analytical testing method	Yes / test method		Yes

Type of Change	Requires re-validation	Procurement Supplier Chain	Quality
Change of location of testing (i.e. a different laboratory)	Yes / test method		Yes
Change to existing test method (including data work up and handling)	Yes / test method		Yes
Introduction of new measurement equipment type	Yes/test method		Yes
Use or introduction of previously validated duplicate equipment	Correlation to existing equipment		Yes
Level of laboratory accreditation	Notification		Yes

Supplier shall ensure that all material deliveries intended for re-validation purposes include an additional yellow label affixed on all four sides of the pallet/bag, displaying the wording "For Re-Validation (PPAP) Purposes" in red font. Same wording shall also be clearly indicated on all accompanying shipment documents, including the Invoice and Delivery Note and/or Packing List. The cost incurred by JM for validation of the change will be charged back to the Supplier.

The Supplier shall also notify JM in writing at the time of dispatch of first lot incorporating the implemented change and shall ensure physical identification of the lot using an Initial Production Parts (IPP) tag.

Any temporary change shall be subject to the same notification, risk assessment, approval, and validation requirements as permanent change. The duration and expiration date of the temporary change shall be clearly defined, documented, and monitored to ensure timely review and closure.

In the event of an emergency where changes are unavoidable to ensure continuity of supply due to legal, regulatory or force majeure circumstances, the Supplier shall notify JM of these changes as soon as reasonably practicable.

4 Waiver Requirements

Supplier shall establish and maintain a documented waiver process for requesting temporary approval to deviate from customer specific requirements related to material conformity, packaging, labelling, material safety, pre-shipment samples, quality documentation and services.

- upon identification of any deviation, Supplier shall raise a waiver request along with appropriate containment actions for approval;
- once the waiver is approved by the JM Clean Air, the waived material or service shall be clearly identified with proper labelling and traceability;
- supplier shall ensure the submission of a CAPA to the JM Clean Air and JM shall verify the effectiveness of the implemented CAPA;
- the waiver shall be formally closed only after successful verification of CAPA effectiveness by the JM Clean Air;
- this waiver approval is temporary and applies only to the specified lot(s), quantity, and specified validity period. The Supplier retains full responsibility for material conformity and compliance with Customer Specific Requirements. Any costs, claims, recalls, or corrective actions resulting from the approved deviation shall remain the liability of the Supplier unless otherwise agreed in writing.

5 Acronyms and Definitions

Acronym	Definition
AWB	Air Waybill
BOE	Bill of Entry
BOL	Bill of Landing
BOPT	Battery Operated Pallet Trucks
CA	Clean Air
CAPA	Corrective and Preventive Actions
COA	Certificate Of Analysis
COC	Certificate of Conformance
CSR	Customer Specific Requirements
DGN	Dangerous Goods Note
DIRECT MATERIAL	Materials that are directly incorporated into a product being manufactured for sale to JM customers
DMC	Data Matric Code
EHS	Environment, Health and Safety
ELV	End of Life Vehicles
FMEA	Failure Mode and Effect Analysis
FSC	Forest Stewardship Council
GHS	Globally Harmonized System of Classification and Labelling of Chemicals
IATF	International Automotive Task Force
IEC	International Electrotechnical Commission
IPP	Initial Production Parts
ISF	Importer Security Filing
ISO	International Organization for Standardization
JM	Johnson Matthey
LDPE	Low-Density Polyethylene
NIST	National Institute of Standards and Technology
OEM	Original Equipment Manufacturer
PGM	Platinum Group Metals
PO	Purchase Order
POPs	Persistent Organic Pollutants
PPA	Production Process and Product Approval
PPAP	Production Part Approval Process
PPE	Personal Protective Equipment
PSW	Part Submission Warrant
PUR	Polyurethane
PVC	Polyvinyl chloride
REACH	Registration, Evaluation, Authorisation and Restriction of Chemicals
RoHS	Restriction of Hazardous Substances
SCN	Supplier Concern Notice
SDS	Safety Data Sheet
VDA	Verband der Automobilindustrie