

Global Supplier Manual Appendix V – Honda Customer Specific Requirements for Suppliers

November 2, 2020

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SMR Global Supplier Manual - Additional Customer Specific Requirements

Scope of this document

The scope of this document is to ensure compliance to customer requirement by sub-suppliers of SMR Automotive who are supplying for any Honda project. This document is listing requirements for these suppliers in addition to standard IATF16949 requirements and in addition to standard SMR requirements.

Responsibility

Suppliers who are supplier for SMR of a component for a Honda product shall meet all requirements listed in this document during the whole project lifetime. This includes but not limited to:

- Regularly check for updates of this document on www.smr-automotive.com
- Ensure availability and awareness of related Honda standards and requirements mentioned in this document
- Ensure requirements are met in their supply chain

1.0 Organization Roles, Responsibilities and Authorities (IATF 16949 section 5.3.1)

- The supplier shall designate contacts for quality assurance to manage quality related operations with Honda to facilitate thorough communication with Honda.
- The supplier shall designate qualified personnel to act as a contact to Honda for the following duties in accordance with roles and tasks.

a. Quality Assurance Representative (executive officer level):

The supplier's person responsible for implementation of company-wide quality assurance activities.

Assume responsibility for the following as the representative for the supplier's quality.

- 1) Attends seminars on quality for suppliers organized by Honda.
- 2) Follows if Honda requests a corporate-level quality improvement.
- 3) Receives SQM issued by Honda and deploy its requirements throughout the company.
- 4) Represents the supplier and participates in regular audits (QAV-1) for supplier quality by Honda.
- 5) Serves as the contact person to Honda for a corporate-level communication or when Honda makes corporate-level requests to the supplier.

b. Facility Quality Representative (head of a factory or general manager level officials):

A supplier's personnel who is appointed per facility and responsible for quality assurance activities at own facility. Entrusted by the quality assurance representative and is responsible for deploying the latest version of SQM issued by Honda and putting it into practice at all departments concerned of the facility.

- For any contact person or information changes, the supplier shall immediately inform Honda of the change, make necessary changes.

2.0 Quality objectives and planning to achieve them (IATF 16949 section 6.2.1)

- An action taken by Honda to implement improvement measures by submitting a notice to the competent authorities in accordance with Article 9 (Improvement Campaign) of Circular notice "Handling Procedure for notification, etc. of Recall" (Jishin No.1530 of December 1, 1994, hereinafter referred to as "Circular notice").

3.0 Planning of changes (IATF 16949 section 6.3)

- The supplier shall control change points of process and parts to ensure traceability of parts (refer to SQM 4-4 Change Point Control).
- The supplier shall identify parts by suitable means and record manufacturing history to ensure traceability of parts (refer to SQM 4-3 Identification and Traceability).

4.0 Environment for the operation of processes (IATF 16949 section 7.1.4)

No.	Type of Record	Retention Period
1	Verification result of regulatory compliance management	15 years
2	Data of chemical substances/ recycling of chemicals presented or submitted to Honda	15 years after discontinuation of production.

Cleanness Rank	Description
A	Control circuit parts whose failure, such as valve lock failure by contact with contaminants, causes to lose function and quality of drive train.
B	Parts having contact with hydraulic fluid excluding control circuit parts whose failure, such as valve lock by contact with contaminants, causes to lose function and quality of drive train
C	Parts not included in rank A nor B which can contaminate parts in rank A or B indirectly by contact with contaminants.

- Of those parts such as automatic transmission, etc., the ones subject to intensive control of contaminants shall be the parts whose cleanliness ranks and contaminant mass criteria are specified on the drawing in accordance with HES (Honda Engineering Standards). However, parts that are not specified on the drawing but are set forth in section 6 Contaminants Control Parts (automatic transmission, etc.)” shall also be included. See Honda SQM section 2-8 Contaminants Control

5.0 Calibration/Verification Records (IATF 16949 section 7.1.5.2.1)

- In order to confirm that there is no abnormality in the equipment, the business partner conducts daily inspection and saves the record.

No.	Type of Record	Retention Period
1	Routine maintenance records	1 year
2	Periodical check and calibration records	<u>20 years</u>
3	Repair records	<u>20 years</u> after abolishment

6.0 Control of documented information (IATF 16949 section 7.5.3)

- In case the quality records format is designated, the supplier shall apply the latest format.
- In case supplier creates quality records, the person who was assigned by the supplier shall signs/seals and approve the records.
- In case the supplier creates the quality records, the person who was assigned by the supplier shall signs/seals and approve the records.
- Supplier shall store the sign/seal (including electronic) with security so that no other person can use it.

7.0 Confidentiality (IATF 16949 section 8.1.2)

- Honda and suppliers agree to take the same care to preserve the confidentiality of each other's confidential information and will not disclose such information to any third party without the prior permission of the other party.

8.0 Customer-designated special characteristics (IATF 16949 section 8.2.3.1.2)

- The supplier shall confirm special characteristics, which are specifically selected from important safety parts and important quality characteristics (Ⓢ), and exercise control in accordance with section 3.2.
- The supplier shall confirm important safety parts and important quality characteristics (Ⓢ) designated by Honda in accordance with respective drawings (specifications included).
- Part rank varies by product type, such as motorcycle, automobile, or power product. The same parts with identical function may be given different designation depending on the product type. If providing the same parts for different products, the supplier shall confirm the designation for each product. For the verification of process capability, a set of data with a sample size of n=100 or more is advisable. A minimum of 30 data sets should be used (however, if the quality characteristics requires destructive inspection, or can be assured by molds, then this may not apply) and at least one of the following requirements must be satisfied.
 - a) $Cpk \geq 1.33$ or $P < 0.01$ is observed
 - b) If the process capability does not satisfy the condition above (a), conduct 100 percent inspection, and take appropriate actions in order for the process to gain the same level of assurance.
- The quality assurance representative of the supplier or the quality representative of the facility shall approve repairs of important quality characteristics (Ⓢ) of important safety parts. The supplier shall conduct a 100 percent inspection of repaired parts, and maintain records identifying the lot.

9.0 Design and development planning (IATF 16949 section 8.3.2.1)

Ranking RPN = S×O×D	RPN Evaluation Criteria : 1-10 Scale (example)	
	RPN	Measures
1000 Top priority	436 ~ 1000	<ul style="list-style-type: none"> • Top priority. • Immediate measures required.
	130 ~ 435	<ul style="list-style-type: none"> • High priority. • Implement measures.
	27 ~ 129	<ul style="list-style-type: none"> • Moderate priority. • Monitor the occurrence of a failure mode and implement measures accordingly.
	8 ~ 26	<ul style="list-style-type: none"> • Low priority. • Implement measures where time and resources allow.
1 Least priority	1 ~ 7	<ul style="list-style-type: none"> • Accept as a remaining risk. • No further measures required.

No.	Type of Record	Retention Period
1	Process FMEA worksheet	20 years after the issue of discontinuation order.

10.0 Special characteristics (IATF 16949 section 8.3.3.3)

- The supplier shall confirm special characteristics, which are specifically selected from important safety parts and important quality characteristics (Ⓢ), and exercise control in accordance with section 3.2.
- The supplier shall perform verification of process capability to confirm if important quality characteristics (Ⓢ) of important safety parts are controllable by manufacturing conditions.
- The supplier shall place marks specified by Honda (HS, HA or HB) on the process quality control table.
- The supplier shall include all quality characteristics related to important safety parts in the process quality control table, and control processes related to the Honda-designated important quality characteristics (Ⓢ) by designating them as key items.
- The supplier shall perform verification of process capability to confirm if important quality characteristics (Ⓢ) of important safety parts are controllable by manufacturing conditions.

11.0 Prototype programme (IATF 16949 section 8.3.4.3)

- The supplier shall confirm production capacity by continuous production for two hours or with a sample size of n=200 or more and verify feasibility of target yield, cycle time, and maximum production capacity and operators' proficiency level of skills.
- If continuous production for two hours or with a sample size of n= 200 or more is not attainable, consult with Honda (new model preparation section).

No	Type of Record	Retention Period
1	Process capability verification records	20 years
2	Mass production verification records	20 years

12.0 Product approval process (IATF 16949 section 8.3.4.4)

- The supplier shall obtain approval for mass production from Honda with respect to change points for IPP specification changes.
- Inspection samples of IPP, inspection data and IPP tags (refer to "IPP Control [IPP]" in section 9.5) shall be submitted to Honda for approval by the specified date
- Data and documents that provide evidence of Mass Production Transition Declaration records retention period is 20 years

No.	Type of Record	Retention Period
1	Self-Controlled IPP Communication Form	20 years
2	Record of change points	20 years
3	IPP control [IPP]	20 years
4	Inspection data attached to IPP	20 years

13.0 Design and development changes (IATF 16949 section 8.3.6.1)

- The supplier shall obtain approval for mass production from Honda with respect to change points for IPP (Initial Production Part) specification changes.
- Inspection samples of IPP, inspection data and IPP tags (refer to "IPP Control [IPP]" in section 9.5) shall be submitted to Honda for approval by the specified date.

14.0 Statutory and regulatory requirements (IATF 16949 section 8.4.2.2)

- A course of action by the quality assurance representative, facility quality representative, or responsible person who was appointed and entrusted by the quality assurance person of a supplier to verify that the specifications of parts designed by the supplier comply with regulatory requirements.
- In the case where a secondary supplier is involved in required regulations, the supplier ensures each important matter indicated in (SQM 2-2 Regulatory Compliance Certification) is implemented properly, and controls the sub-supplier at their own responsibility.

15.0 Supplier monitoring (IATF 16949 section 8.4.2.4)

- The supplier shall perform quality audits of sub-suppliers on a regular basis or as needed, confirm their quality performance and evaluate and/or re-evaluate them.
- 3.2.2. The supplier is required to be prepared in a manner that Honda can participate in a quality audit of sub-suppliers if so requested by Honda (refer to SQM 2-7 Supplier Quality Evaluation)

No.	Type of Record	Retention Period
1	Sub-suppliers List	Update to the latest version
2	Audit records of sub-suppliers (or tier 2suppliers)	<u>20 years</u>
3	Analysis Record [Analysis Report]	<u>20 years</u>
4	Process quality control table	<u>20 years after discontinuation of the model production</u>
5	Receiving inspection data	<u>20 years</u>
6	Results of pre-production status confirmation	<u>20 years</u>
7	Results of validation testing	<u>20 years</u>

16.0 Second-party audits (IATF 16949 section 8.4.2.4.1)

- The supplier is required to be prepared in a manner that Honda can participate in a quality audit of sub-suppliers if so requested by Honda.

17.0 Control plan (IATF 16949 section 8.5.1.1)

- The supplier shall control and maintain the process quality control table and use for the following purposes.
 - a) Management of control items for in-process quality assurance.
 - b) Monitoring of process control conditions.
 - c) Accumulation and conveyance of skills and technology, etc.
- Validity test plans/actual results and manufacturing records retention period is 20 years.
- Process Quality Control Table retention period is 20 years after discontinuation of the model production.

18.0 Standardized work – operator instructions and visual standards (IATF 16949 section 8.5.1.2)

- The supplier shall include the following information in the operation standards (WI).
 - 1) Part name and process name
 - 2) Component parts to use
 - 3) Work sequence instruction
 - 4) Control items, control methods, quality characteristics, criteria (limit sample, master sample included)
 - 5) Name of machine and/or tool used and direction for use.
 - 6) All key points other than above (key points include possible failure modes, such as potential nonconformity problems or effects on the product, which may occur if the operation standards are not being followed).
 - 7) Points relating to lot control, FIFO, etc.
 - 8) Reaction plan for abnormal condition. Descriptions of reporting rules and routes, etc.)
 - 9) Directives for changeover of materials, lines or machines.
 - 10) If applicable, check and maintenance of equipment.
 - 11) Precaution statement for thorough compliance with operation standard. (Statement to prohibit operations other than in the operation standards).

No.	Type of Record	Retention Period
1	Operation standard	<u>20 years</u> after discontinuation of the model production.
2	Training record	<u>20 years</u>

19.0 Identification and traceability (IATF 16949 section 8.5.2)

- To ensure traceability, the supplier shall assure that sub-suppliers employ the same degree of control for manufacturing history.
- Each delivery container shall be identified by parts specification card, etc.
- Information below shall be contained in the identification.

- 1) Company name
- 2) Honda part number
- 3) Honda part name
- 4) Delivery date specified by Honda
- 5) Quantity
- 6) Number of containers
- 7) Others (to be decided after consultation with Honda where necessary)

No.	Type of Record	Retention Period
1	Lot-Control-Specified Parts Notice	<u>20 years</u> after the issue of discontinuation order.
2	Lot Number Display Details, or equivalent	<u>20 years</u> after the issue of discontinuation order.
3	Record of manufacturing history of parts	<u>20 years</u>

20.0 Identification and traceability — supplemental (IATF 16949 section 8.5.2.1)

- The supplier shall control change points of process and parts to ensure traceability of parts (refer to SQM 4-4 Change Point Control).
- The supplier shall identify parts by suitable means and record manufacturing history to ensure traceability of parts (refer to SQM 4-3 Identification and Traceability).

21.0 Property belonging to customers or external providers (IATF 16949 section 8.5.3)

- Maintenance records of Honda-owned properties retention period is 20 years.
- Records of actions for abnormal conditions of Honda-owned properties retention period is 20 years

22.0 Preservation - supplemental (IATF 16949 section 8.5.4.1)

- The supplier shall, in reference to section 3-3 Delivery Packaging, prepare a “Delivery Packaging Specification Form” or create an equivalent form, and submit to Honda.

23.0 Control of changes (IATF 16949 section 8.5.6)

- Countermeasure request: An action to be taken by a supplier to request Honda for a change to the drawings (specifications, etc., included) by using “Countermeasure Request (Countermeasure Request Form)”.
- The supplier shall submit “Countermeasure Request (Countermeasure Request Form)” to Honda’s purchasing-cost or procurement section.
- Countermeasure requests shall be submitted prior to establishing permanent tooling at the production preparation stage, however, in cases where one of the following conditions applies, submission of a countermeasure request on a case-by-case basis will be accepted.
 - 1) Countermeasure request for regulatory or safety noncompliance issues.
 - 2) Countermeasure request which may result in an increase in production capability, a significant increase in workability or quality, or a significant reduction in costs, etc.
 - 3) Countermeasure request which is not for current parts, but is expected to apply in the future.

24.0 Control of changes - supplemental (IATF 16949 section 8.5.6.1)

- The supplier clarifies what they will report to Honda in advance within self-controlled IPP (Initial Production Parts). Furthermore, the report is of the following items:
 - a. Changes to the written content of the “Process Quality Control Table”
 - b. Anything applicable to “Section 7 Examples of IPPs”
 - c. Anything deemed necessary by the quality assurance representative or the facility quality representative.
- The supplier shall, when reporting to Honda, fill out the slip from form 9.1 “Self-Controlled IPP Communication Form.”
- Examples of self-controlled IPP:
 - New supplier
 - Material change
 - Change in process conditions or methods
 - Process sequence change
 - Machine change
 - Jig and tool change
 - Die/mold change
 - Inspection method Change
 - Change in delivery method or delivery packaging
- See Honda SQM 4-4 Change Point Control for details and forms

25.0 Appearance items (IATF 16949 section 8.6.3)

- See Honda SQM 3-5-3 Grain and Color.

26.0 Statutory and regulatory conformity (IATF 16949 section 8.6.5)

- Honda shall issue Model CP List to two-wheeled / four-wheeled suppliers to request inspections or process

assurance with respect to quality characteristics of parts which inspections or process assurance is mandated by laws and regulations.

27.0 Acceptance criteria (IATF 16949 section 8.6.6)

- The following items shall be included in the limit sample control form at a minimum.
 - 1) Date of production of the limit sample
 - 2) Control number
 - 3) Inspection items (scratch, color, roughness, unevenness, wrinkle, shape, etc.)
 - 4) Applicable part number or part name
 - 5) Effective period (Time-dependent change of limit samples shall be taken into consideration when establishing an effective period.)
 - 6) Signature field
- Limit sample control form and Limit sample duplicate ledger retention period is until a production closing order is issued.
- The supplier shall confirm drawings (specifications included) for the color assigned to parts, fill in a “color-matching reference chart” found in section 6 or equivalent form with necessary information, and submit it to Honda.
- The supplier shall request Honda a color application plate for colors newly adopted.
- The supplier shall examine colors by visual and by measurement using color measuring equipment (colorimeter, etc.). Record evaluation results including visual checks and measurements in the “color matching reference chart” or equivalent form set forth in section 6. The supplier shall sign and date on the approved actual parts for which the final agreement was entered into with Honda, and maintain the approved actual part sample in a manner that prevents discoloration or damage.
- See Honda SQM 3-5-2 Preparation of Limit Samples and 3-5-3 Grain and Color Adjustment
- Limit samples retention is until a production closing order is issued.

28.0 Control of repaired product (IATF 16949 section 8.7.1.5)

The supplier shall conduct a 100 percent inspection of important quality characteristics (Ⓢ) of important safety repaired parts with, and maintain records identifying the lot.

No	Type of Record	Retention Period
1	Repair and re-inspection record	5 years

29.0 Monitoring, measurement, analysis and evaluation (IATF 16949 section 9.1.1)

If the following items (1)~(6) are not included in Inspection Check Sheet, the data and/or records shall also be submitted. However, items of 100% inspection on manufacturing line are excluded.

- (1) Inspection units (control numbers such as part number / part name / manufacturing number that can identify inspected products, lot number etc.)
- (2) Inspection start date / completion date
- (3) Inspection items, inspection equipment (including information that can identify test equipment) or inspection method.
- (4) Photos of equipment /parts under inspection, photos of inspection tester, (control number for inspection date, inspection tester, and mfg. number that can identify inspected products and others that can identify control number such as lot number.
- (5) Judgment criteria and inspection results.(photos, data of before and after the inspection of the equipment/parts)
- (6) Inspector / Approver

30.0 Monitoring and measurement of manufacturing processes (IATF 16949 section 9.1.1.1)

- Correct sampling: points to estimate the characteristics of the general population are as follows.
 - 1) Random sampling = do not use data collected only under the same conditions.
 - 2) Measurement accuracy= calculate to one more decimal place than the specification value.
 - 3) Avoidance of factors causing problems = obtain data from the condition in which problem factors do not exist.
 - 4) Clarify the definition of the lot and comprehend lot-to-lot dispersion. Check at least 3 lots and determine the acceptance by increasing n.
- $Cpk \geq 1.67$: Process capability is more than sufficient.
- $1.67 > Cpk \geq 1.33$: Process capability is sufficient
- $1.33 > Cpk \geq 1.00$: Process capability is not sufficient: Process improvement is required until a Cpk of 1.33 is achieved.
- $1.00 > Cpk \geq 0.67$: Process capability is insufficient: determine whether or not the lack of process capability is due to a displacement of the median or dispersion. Investigate and take measures.

31.0 Identification of statistical tools (IATF 16949 section 9.1.1.2)

- The supplier shall perform verification of process capability to confirm if important quality characteristics (©) of important safety parts are controllable by manufacturing conditions.

No.	Type of Record	Retention Period
1	\bar{X} – R control chart	<u>20 years</u> after creation
2	p control chart	<u>20 years</u> after creation
1	Records of process capability study	5 years after study

32.0 Application of statistical concepts (IATF 16949 section 9.1.1.3)

- The supplier shall perform verification of process capability to confirm if quality characteristics of parts are controllable by manufacturing conditions. For process capability verification, the data with sample size of n=100 or more is desirable. A minimum of 30 data sets should be used (not applicable for the parts for which destructive testing is required or with quality characteristics assured by tooling) and the process capability should be met at least one of the following requirements.
 - $Cpk \geq 1.33$ or $P < 0.01$ range is observed.
 - If $1.0 \leq Cpk < 1.33$ or $0.01 \leq P \leq 0.3$, 100 % inspection or sampling inspection is incorporated in the process and the result shows no nonconformities. In case of any nonconformities detected, a procedure to take a retroactive action for the product lot which may be affected is employed before dispatch of the lot. Moreover, control process capability and seek improvement.
 - If $Cpk < 1.0$ or $0.3 < P$, 100% inspection is conducted.
 - Investigate and determine whether or not insufficient process capability is due to a shift of the median or dispersion, and take measures.
- Note: for single specification limit case, Cp control shall apply.
- The supplier shall confirm production capacity by continuous production for two hours or with a sample size of n=200 or more and verify feasibility of target yield, cycle time, and maximum production capacity and operators' proficiency level of skills.
- If continuous production for two hours or with a sample size of n= 200 or more is not attainable, consult with Honda (new model preparation section).
- Process capability and mass production verification records retention period is 20 years

33.0 Customer satisfaction – supplemental (IATF 16949 section 9.1.2.1)

- Assessment items
 - Market quality evaluation
 - Delivery quality evaluation
 - Delivery evaluation (quantity, timing)
 - Quality assurance system evaluation

34.0 Management review Inputs (IATF 16949 section 9.3.2)

- The supplier shall include the results of delivery quality evaluation provided by Honda as an input to the management review.

35.0 Nonconformity and corrective action (IATF 16949 section 10.2)

- The supplier shall, if Honda issues "Market Quality Information (Analysis/Countermeasure Request)", analyze the details of the problem in compliance with the request, and take measures if the cause is attributable to its conduct.
- The supplier shall respond to Honda by submitting an "Analysis Record (Analysis Report)" with photographs, data, etc. attached by the date specified on "Market Quality Information (Analysis / Countermeasure Request)".
- The supplier shall define procedures for control and storage of recovered parts and related information provided by Honda, and store them properly. The recovered parts shall be disposed of by a method provided by and agreed with a providing section of Honda after completion of investigation and analysis (after reporting to Honda) or after conclusion of agreements on warranty claim.

No	Type of Record	Retention Period
1	Supporting data to Analysis Record [Analysis Report]	<u>20 years</u>

36.0 Problem solving (IATF 16949 section 10.2.3)

No.	Type of Record	Retention Period
1	Rejection Countermeasure Request	<u>20 years</u>
2	Analysis Record [Analysis Report]	<u>20 years</u>
3	Records of corrective actions taken against in-house problems	5 years

37.0 Error-proofing (IATF 16949 section 10.2.4)

- Prior to applying error proofing to a process or operation, confirm the following functions, etc. and verify effectiveness of the error proofing.
 - 1) Capability of detecting operation errors, problems with parts, etc.
 - 2) Detection capability of difference in parts location and/or arrangement.
 - 3) Functions to prevent easy change and unwanted operation of the equipment.
 - 4) Possibility of the error proofing function to damage parts.

38.0 Warranty management systems (IATF 16949 section 10.2.5)

- Honda shall, where problem occurs in the market after products are sold, and where the problem is deemed attributable to the supplier from which the concerned parts were purchased, request the supplier to perform analysis of the problem and to take preventive measures against recurrence. The supplier shall analyze market problems required by Honda, and if it is attributable to its own conduct, take measures to prevent the problem from recurring.

39.0 Customer complaints and field failure test analysis (IATF 16949 section 10.2.6)

- Handling of Lot-Out Parts (Parts returned from Honda by the unit of delivery lot due to nonconformity, such as not satisfying specifications).
- When disposing lot-out parts, record the reason, date, and quantity, etc. of parts being disposed in the manufacturing history.
- In principal, due to its critical nature, lot-out parts shall not be repaired or modified. Those which are determined that repair, sorting, concession, etc., (herein after referred to as “repairs, etc.”) can be made shall be handled in accordance with (SQM 4-5-1 Delivery Quality Problem).

History of Revision

No.	Cause of modification	Date	Modifier	Approved
1	First issue	16.04.2019	Mina Sergious	Steffen Dehner
2	- Added: 6.0 Control of documented information. - Updated: 29.0 Monitoring, measurement, analysis and evaluation	27.06.2019	Mina Sergious	Steffen Dehner
3	Update Logo	02.11.2020	Judith Robertson	A.Lomas
4				
5				