



Supplier Manual

库柏供应商手册

**COOPER**

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1 • Introduction 简介

The purpose of this manual is to define the requirements for doing business with Cooper Industries Ltd. (Cooper Industries Ltd, and its affiliates shall be referred to herein as “Cooper”), and to outline processes used to ensure that our supply base is continually improving to prevent quality and delivery disruptions, provide the lowest cost, and top level service. Implementation of the processes outlined in this manual will **not only** reduce risk of supply chain disruptions, but will also help Cooper Industries and its suppliers to increase our competitive market position and ensure our **continued** success.

本手册的目的在于定义与库柏工业集团（库柏工业集团及下属各事业部，下述中简称“库柏”）开展商业活动的要求，以确保我们的供应商能持续改进，避免产生产品质量问题和交付问题，并提供最低的成本和一流的服务。严格遵守此手册中描述的具体要求将**不但**会减少供应链的风险，同时也能帮助库柏和供应商进一步提高市场竞争力，并确保我们**继续**成功合作。

Scope 范围

The requirements of this manual apply to all suppliers of finished goods, production materials (raw or components), as well as outside processes where applicable. Products and processes not incorporated into the finished goods sold by Cooper Industries are typically not covered by this manual. Any questions regarding the applicability of the requirements contained in this manual should be directed to your Cooper Industries contact(s) for resolution.

本手册的要求适用于所有成品供应商、材料制造供应商（原材料或者元器件）以及适用的其他外发加工过程。如有任何对手册内容的适用性有疑问，请直接与您的库柏联系人咨询解决。

Responsibility 职责

It is the responsibility of the supplier to review, understand, and satisfy the requirements of this manual and any other applicable requirements as part of the acceptance of purchase orders from Cooper. The supplier should obtain any referenced documents to ensure full compliance with all applicable requirements.

供应商有责任对本手册中的要求进行评审、理解并满足要求，同时还应满足采购合同中的其它要求。供应商应设法获得所有参考文件，确保完全符合所有的适用要求。

Cooper will maintain and document changes in the general quality requirements included in this manual. Revisions to the Cooper Industries Supplier Manual will be available on line at <http://www.cooperindustries.com\strategicsourcing> or can be obtained through Cooper's purchasing departments.

库柏将维护本手册，并对手册中的质量要求的变更进行记录。供应商手册的版本能在库柏的网站 <http://www.cooperindustries.com\strategicsourcing> 查询，或者通过库柏工业集团的采购部门获得。

1.1 About Cooper 关于库柏

Cooper Industries is a diversified global manufacturer of electrical components. The Company has seven operating divisions with leading market share positions and world-class products and brands including: Bussmann electrical and electronic fuses; Crouse-Hinds and CEAG explosion-proof electrical equipment; Halo and Metalux lighting fixtures; and Kyle and McGraw-Edison power systems products. In addition to offering a full suite of electrical and circuit protection products, Cooper also provides distribution switchgear and transformers, energy automation solutions and other power system components for use by utilities and in industrial and commercial applications.

库柏工业是多样化的电气元件全球制造商。公司拥有7个运营事业部，拥有领先的市场份额地位和世界及的产品与品牌，包括：Bussmann电气和电子保险丝；Crouse-Hinds和CEAG防爆电器；Halo和Metalux照明设备；Kyle和McGraw-Edison电力系统产品。库柏还为工业和商用设施提供整套电路保护产品，同时也提供配电开关柜和变压器，能源自动化解决方案和其他电力系统元器件。

With its broad range of products, Cooper is uniquely positioned for several long-term growth trends, including the current global infrastructure build-out, improvements to enhance the reliability and productivity of the electric grid, the increased demand for higher energy-efficient products and the need for improved electrical safety. Additional information about the various divisions of Cooper and its products and markets can be found at www.cooperindustries.com. 库柏拥有宽广的产品系列，其独一无二地处于几个长期增长的趋势，包括目前的全球基础设施建设，提升电网的可靠性和生产效率，快速增长的高效能源产品需求和对电气安全的改善。关于库柏各事业部及其产品和市场的更多信息，请参考www.cooperindustries.com。

1.2 Cooper's Values & Principles 库柏的价值观和准则

Cooper works with suppliers who deliver the best quality, value and service while exhibiting a high commitment to ethical conduct and social accountability. Cooper selects business partners who follow workplace standards and business practices that are consistent with our company's key values & principles **consisting of:**

库柏与供应商共同努力，展示高尚的道德行为和社会责任，并提供高质量高价值的产品和优质服务。库柏选择的业务伙伴，是具有与库柏同样的价值观和商业准则的，**价值观和商业准则包含以下内容：**

Culture and Values 文化与价值观

- Integrity 正直诚信，言行一致
- People & Leadership 人才为本，卓越领导
- Accountability 勇挑重担，知难而上
- Speed & Adaptability 兵贵神速，因势利导

Key Principles 主要准则

- Passion for the Customer 想客户所想，急客户所急
- Innovation as our Lifeblood 创新为公司的立足之本，生存之道
- Leveraging Technologies 持续升级换代的产品研发能力
- Excel at Globalization 在全球化进程中不断超越自我，精益求精
- Continuous Improvement Mindset in Everything We Do 日新月异，追求卓越

1.3 Strategic Sourcing Mission & Vision 战略采购的使命和愿景

Cooper follows a Strategic Sourcing process to optimize supply chain activities by coordinating and leveraging the procurement of commodities from a select group of preferred suppliers. Cooper Strategic Sourcing provides a cohesive inbound supply chain that maximizes the value of all products and services procured by all of our worldwide locations, providing exceptional global operating efficiencies and innovation.

库柏遵守战略采购流程，通过从首选供应商采购的产品整合，优化供应链活动。库柏战略采购提供了稳固的供应链，可以在全球范围内将采购的产品和服务价值最大化，以确保提供一流的全球运营效率和创新。

Through the creation of distinct commodity groupings, we can identify and manage pertinent market trends and economic drivers that affect cost and availability. This also allows us to better manage our purchasing processes to accommodate regional sourcing, capacity management and other variables. Cooper Strategic Sourcing utilizes technology solutions to consolidate material and service spending across the company into one database. The technology helps us consolidate and leverage our buying power, as well as giving us the visibility to ensure that sourced materials and services are being procured from our preferred suppliers.

通过创建不同的产品类型小组，我们能够识别和管理相关的市场趋势和影响成本和有效利用的经济驱动力。这同样允许我们更好地管理采购流程以适应地区性采购，采购能力管理和其他变化因素。



库柏战略采购部门运用技术方案，将公司使用的材料和服务整合在一个数据库中。这套技术帮助我们整合于权衡我们的采购能力，同时给我们看到确保采购的材料和服务来自于我们的优选供应商。

Cooper Strategic Sourcing, in conjunction with Divisional Sourcing Leaders, Regional Sourcing Centers, and other functional groups, determines and implements the progressive supply chain strategies necessary for company competitiveness and growth.

库柏战略采购部门，与事业部的采购领导，地区采购中心及其他职能团队合作，确定和执行公司竞争力和增长所必需的先进的供应链战略。

1.4 Corporate Quality Policy 库柏的质量方针

Employees of Cooper Industries are committed and **empowered** to provide products and services that exceed our **internal and external customers'** expectations. We work together to achieve world-class quality with a relentless drive for **continuous improvement**.

库柏员工承诺，向内部和外部顾客提供超越他们期望的产品和服务。我们一起努力，不断地驱动持续改进，以此达到世界级的质量。

2 • Doing Business with Cooper 与库柏开展业务

2.1 Understanding Cooper 了解库柏

Established in 1833, Cooper has a long history of industry-leading businesses that maintain an intense focus on innovation; leading business practices and the customer across a diverse set of end markets. Cooper has unparalleled product breadth and well-established brands recognized around the world. Cooper's future depends on continued innovation, maintaining advanced business practices and satisfying our customers in an ethical and uncompromising manner.

Working with suppliers that support these objectives are a critical element of our future success.

库柏建立于 1833 年，有悠久的行业领先历史，着眼于创新、先进的业务实践和在给类终端市场中的顾客。库柏拥有无可比拟的系列产品和受全球认可的优质品牌。库柏的未来依靠持续创新，维持先进的商业实践，并通过道德规范和不妥协的方式满足顾客需求。与供应商合作将支持这些目标，也是我们未来成功的关键要素。

2.2 Code of Ethics & Business Conduct 道德规范和商业行为

The Cooper Code of Ethics & Business Conduct is located at WWW.cooperindustries.com or can be obtained through your purchasing department contact.

库柏的道德规范和商业行为在WWW.cooperindustries.com看到，或者可以通过库柏采购部门的联系人获得。

2.3 Social Accountability 社会责任

Cooper selects business partners who comply with local law and internationally acceptable fair and safe labor practices. Suppliers shall comply with all applicable federal state and Local laws, and rules and regulations of any government authority which have the effect of law.

库柏工业集团选择业务伙伴应遵守当地法律和国际上认可的公平和安全的劳动惯例。供应商应遵守所有适用的联邦和地方的法律法规。

3 • Quality System Requirements 质量体系要求

3.1 Quality Systems 质量体系:

All suppliers should be compliant with an industry recognized quality standard such as ISO9001, ISO/TS16949 or other Cooper Industries business group specified management system.

Certification by an accredited third party registrar is highly recommended, and will be a factor considered in **the** award or continuation of business. Cooper may elect to perform an on-site

compliance assessment when 3rd party certification does not exist. Any change in a third party approval/certification status must be communicated to Cooper within five business days of the occurrence.

所有的供应商应符合行业认可的质量标准，如ISO9001、ISO/TS16949或者其他库柏指定的管理体系。有第三方认证的供应商优先推荐，而且会作为奖励或继续保持业务联系的一个因素。在没有第三方认证的情况下，库柏会选择性地对供应商现场做符合性评估。如果第三方认证状态发生了改变，供应商必须在5个工作日之内与库柏沟通。

3.2 Quality Planning 质量计划:

Suppliers must follow a New Product Development (NPD) process. Suppliers to Cooper Industries shall be able to demonstrate a robust NPD system during a qualifying on-site audit which will include the five basic phases of NPD:

供应商必须遵循新产品开发流程(NPD)。库柏的供应商应能在现场审核时展示一套行之有效的新产品开发系统。这套系统包含以下5个基本阶段:

- Plan and define the program specific to the product and Cooper's needs and requirements. 对产品和库柏需求进行策划和定义。
- Product Design and Development Verification, where applicable. 适用时，进行产品设计和开发的验证活动。
- Process Design and Development Verification. 过程设计和开发的验证活动。
- Product and Process Verification. 产品和过程验证。
- Product Launch, Feedback, Assessment and Corrective Action. 产品生产、反馈、评估和纠正措施。

Additional requirements and provisions specific to individual Business Units of Cooper will be provided by the Sourcing Group or Purchasing Team of each Division.

其他库柏某个事业部的特定要求和规定会由每个事业部的采购团队提供。

3.3 Quality Records 质量记录

Suppliers must retain all quality system records for a minimum of 3 years, unless otherwise specified. This includes records of process control and traceability which are vital to any required failure analysis.

供应商必须保存所有的质量体系记录。除非有其他规定，保存期限至少为3年。质量记录包括过程控制和可追溯性记录，这些记录对任何要求失效分析是至关重要的。

3.4 Material Traceability 材料的可追溯性

As applicable, the supplier is required to establish a lot traceability system that tracks raw material lot / batch numbers to the finished product lot / batch numbers including traceability to inspection records.

要求供应商建立批号追溯系统，对从原材料批次到最终成品的批号进行追溯。材料的可追溯性包括检验记录的追溯。

4 • Supplier Selection & Approval 供应商选择与批准

4.1 Supplier Selection & Approval 供应商选择与批准

Cooper will select key suppliers for development who present the best opportunity for improvement and who present the greatest potential impact to the organization. Once a supplier has been selected, a cross-functional team consisting of appropriate Cooper and supplier personnel will be formed to work together and have regular follow-up meeting to ensure that certain targets are achieved.

库柏会选择关键供应商进行开发，这些供应商表现出改善的最佳机会以及对公司有最大的潜在影响。一旦供应商被选择，由合适的库柏和供应商工作人员组成的跨职能团队将共同工作，并召开定期的跟进会议，确保目标完成。

During the selection process, Cooper **requires** the following:

在供应商选择过程中，库柏要求供应商做到以下几点：

- **Supplier Profile completed (form to be provided by Cooper Industries)** 填写供应商信息表（表格由库柏提供）
- **Signed Non-Disclosure Agreement (when applicable)** 签署保密协议（适用时）
- **Request for Quote (Quote based on Cooper's requirements)** 报价单（基于库柏要求的报价）
- **On-Site Assessment (form to be provided by Cooper)** 现场评估(库柏提供表格)
- **Financial Analysis – Cooper will determine financial viability based on the information provided in the Supplier Profile. Further analysis, including the use of Dunn & Bradstreet, may be used in the financial viability decision.**
- 财务分析—基于供应商信息表提供的信息，库柏将会确定供应商的财务可行性。包括会用到邓百氏公司的信息，进一步分析决定供应商的财务可行性。

The decision to select a supplier can include many cross-functional team members. **Final selection is based on the results of the aforementioned processes during the selection process.**

Some suppliers will be accepted with conditions that must be addressed before award of business. Upon approval, suppliers will be added to the Approved Supplier List (ASL).

选择某个供应商是由跨职能的团队决定。**最终选择是基于上述过程的结果。**某些带条件通过的供应商在获得库柏业务之前必须提出改进计划。一旦通过后，供应商将被纳入合格供应商名录中 (ASL)。

4.2 Sub-contractor Management 分包商管理:

Supplier may not engage any subcontractor without the prior written authorization of Cooper. It is the responsibility of the supplier to manage the quality of all sub-contractor operations. All requirements described in this quality manual are also to be applied for sub-contractors. All documents, registers and audit reports must be kept available by the supplier and/or submitted for Cooper evaluation when required.

在没有获得库柏的书面授权之前，供应商不能另找分包商。 供应商有责任对其所有的分包商的质量进行管理。本手册中所有要求同样适用于供应商的分包商。供应商能随时获得分包商的文件、记录和审核报告，必要时将提交库柏评估。

5 • Requirements Communication 要求的沟通

5.1 Requests for Quote (RFQ) 报价单

All RFQ will typically contain all necessary documents for full quotation, including:

报价单包含报价所需的以下文件：

- Engineering drawings 工程图纸
- Technical specifications 技术规范
- PPAP submission requirements PPAP提交要求
- Physical samples when available 如可能，提交样品

The supplier must contact Cooper in the event the RFQ material is illegible, unclear, or missing key information that is necessary for quotation. Later amendments or changes to supplier's commercial proposals, due to any reason, will not be accepted.

如果报价单字迹模糊、不清楚或者遗漏报价必需的关键信息的话，供应商必须马上与库柏联系。无论何种原因，供应商事后提出的修正和更改将不被接受。

5.2 Supplier Manual 供应商手册

General supplier requirements are contained within the Cooper Supplier Manual. Supplier compliance with this manual is a requirement of doing business with Cooper. Performance of

suppliers in meeting these requirements will be assessed on an ongoing basis, and will be a factor in supply strategy.

对供应商的通用要求都包含在此库柏供应商手册中。供应商与库柏开展业务必须遵守本手册要求。供应商是否符合这些要求将会被随时评估，同时也是供应战略的一个要素。

5.3 Purchase Orders (POs) 采购订单

Product specific requirements may also be communicated on PO's. Product drawings called out on PO's **may** specify characteristics that affect the fit, form, and function of the product. Each PO should be followed by an acknowledgement from the supplier confirming for each part number, the price agreed, quantity and delivery date. Product configuration will be specified by the prints, in addition to the configuration specified by the part number. Acceptance of the PO is an acceptance of the standard Terms and Conditions of the PO.

产品的规范要求可以在采购订单中表述。订单中指明的产品图纸**可以**详细说明了影响产品安装、成型和功能的特性。每个订单应由供应商确认：确认每个零件号、双方同意的价格、数量和交货期。产品结构除了由零件号表明外，在图纸中会详细说明。接受了产品定单也即认可了定单中的标准付款条款（T&C）

5.4 Packaging & Logistics Requirements 包装与物流要求

Packaging and Logistics requirements will be called out on Cooper specific requirement as referenced in product specifications, drawings, PO's and/or supply chain agreements. Supplier must comply with **such requirements**, according each **Cooper** site. (e.g. MOQ, batch sizes, etc...) 包装与物流要求将在库柏的特殊要求中说明，并在产品的规范、图纸、订单和/或供应链协议中引用。供应商必须根据**库柏**生产的需要(如，最小订购数量，每批次产量的规格等)，满足**以上**要求。

5.5 Revisions 修改版本

Any revisions to the product requirements will be communicated through the Cooper purchasing organization, or through revision levels called out on Purchase Orders. It is the supplier's responsibility to review Purchase Orders to ensure that up-to-date revisions of product requirements are utilized by their manufacturing. In case of non-compatibility, it is the supplier's responsibility to request from Cooper an updated specification. The supplier is not allowed to deliver previous revision level parts, except by written agreement with **the pertinent** Cooper plant quality team.

任何新的产品图纸版本将会通过库柏的采购部或者通过采购订单上的修改版本进行沟通。供应商有责任评审每一个采购订单，保证最新的产品要求用于生产。万一发生不匹配，供应商有责任要求库柏提供最新的产品规格要求。供应商不允许交付以前版本的零部件，除非事先征得**相关的**库柏工厂

6 • Part Qualification 零部件的资质

6.1 Production Part Approval Process (PPAP) 生产件批准程序

Cooper requires suppliers to utilize the **Production Part Approval Process** to qualify both new purchased parts and changes to existing parts. Cooper has specific requirements for completing and submitting PPAP that are covered in Cooper's Production Part Approval Process Manual.

The manual is available online at <http://www.cooperindustries.com>

库柏要求供应商使用**生产件批准程序**，以证明采购的零部件及现有变更零部件合格。库柏有明确的完成和提交PPAP的要求，这些要求包含在**库柏生产件批准程序手册**中。供应商可以从下面网址得到该手册。 <http://www.cooperindustries.com>

How **and when** PPAP is applied is defined by each individual Cooper Division through a risk management process. **PPAP is required for direct materials**; the supplier will be informed by a representative from the Cooper Division that is sourcing the part. The supplier is responsible for ensuring the sourced product meets all requirements identified both on the part print and all other referenced documentation. This includes applicable specifications, referenced specifications, assembly related prints, industry standard requirements for testing and performance and specific

testing requirements identified by Cooper Engineering, Purchasing or Quality.

如何与何时使用PPAP，是由库柏事业部通过风险管理流程后确定的。PPAP对直接材料有要求。采购该零件的事业部代表将告知供应商PPAP的具体要求。供应商有责任保证被采购的产品满足图纸和相关文件的要求。包括适用的规范，参考规范，装配图纸，与试验和性能有关的行业标准，以及由库柏研发、采购或质量部门确定的试验条件。

PPAP must be submitted on time prior to the PPAP due date that is assigned by the Cooper division. Cooper will not pay for material or shipping related costs associated with production product that is not PPAP approved in cases where PPAP is required. All product is considered unapproved until the PPAP submission is formally approved by the Cooper division sourcing the product.

PPAP必须在库柏事业部的指定完成日之前准时提交。库柏不会对因PPAP未批准而引起的材料或发货相关的成本负责。所有的产品都将视作未认可，直到PPAP的提交被库柏事业部正式批准。

Cooper has training material that is available to all suppliers as well as a PPAP Forms Kit containing many of the document formats required for PPAP submission. Cooper's PPAP resource material is located at

<http://www.cooperindustries.com>

库柏对所有供应商提供PPAP培训教材以及PPAP表格工具包，工具包中包含了许多PPAP提交所需的文件格式。库柏的提供的相关资料和格式均可在此网站找到<http://www.cooperindustries.com>

6.2 First Article Inspection (FAI)

Cooper requires First Article Inspection on many of our new parts and even changes to existing parts. First Article Inspection (FAI) is typically a dimensional or performance related inspection performed by Cooper on a production ready part to verify compliance to our specifications prior to mass production trials and orders. FAI is typically required on new design project parts and quite often on significant changes that can affect form, fit, function or performance that occur on existing production parts.

库柏要求对新零部件，对更改后的另件进行首件检验。首件检验是典型的尺寸检验或与性能有关的检验，由库柏人员在大批量试生产和下订单之前到生产现场测量的，以验证首件是否符合我们的产品规范。首件检验主要对新设计的产品，同时对现有产品比较关键的特性如影响成型、安装、功能或性能的情况下也要求进行首件检验。

6.3 Material Compliance 材料符合性

Cooper requires suppliers to understand and verify the composition of their raw materials. At any time Cooper reserves the right to request raw material confirmation on any supplier purchased product. The supplier should be able to provide a Certificate of Acceptance (CoA) report when required. Particularly with metal, cast or plastic parts, Cooper may ask for a material composition report to verify that the raw material contained within the purchased product meets known or specific industry standards.

库柏要求供应商必须清楚地了解和验证原材料的成分。任何时候，库柏可以要求供应商提供产品的原材料证明。当库柏提出此要求时，供应商须能提供材料合格证明(CoA)。特别地，对金属件，铸件或塑料件，库柏还可要求提供材料成分报告，以验证采购产品的原材料符合已知的或特定的行业标准。

If you are making a permanent change to any raw material or sub supplier providing your company with raw material you are required to submit a Supplier Change Request (SCR) to Cooper and receive approval prior to making the change.

如果供应商或你的分供方对任何原材料进行更改，必须事先提交库柏格式的供应商变更需求(SCR)，只有获得库柏的批准才能进行原材料更改。

If your company does not have in-house capability to test your materials you must secure an accredited external third party source that has the capability of material compliance analysis for

your specific raw materials. All suppliers must have the ability to provide evidence of both material compliance and, when external testing is performed, third party accreditation if requested by any of Cooper's manufacturing facilities, engineering or quality representatives. In addition, Cooper can require ongoing material certification be provided on a routine basis for any purchased product at the supplier's expense during the life of the product.

如果供应商内部没有能力检验材料，供应商必须寻求有能力进行材料符合性分析的有资质的外部第三方机构帮助检测。所有的供应商必须有能够提供材料符合性证据，以及由库柏生产工程或质量人员认可的外部测试机构的资质证据。另外，库柏可要求供应商在产品生命周期内，定期提供材料常规检测报告，检测费用由供应商承担。

Important: It is critical that you reference the Cooper Specification for material outlined in Cooper's Engineering documentation such as the part print or associated specifications. "Equivalent Specifications" for materials are not to be used for performing material analysis such as chemical composition. **For example:** If an ASTM specification is referenced on the print, then your material analysis results should be compared to the ASTM specification when judging conformance and not an "equivalent" material specification.

重要提示: 供应商必须以库柏工程文件（如：零部件图纸或相关规范）中列出的库柏材料详细说明为依据。材料的“等同标准”不能用于材料分析（如：化学分析）。**例如:** 如果图纸上引用ASTM规范，那么在判断材料符合性的时候，供应商的材料分析结果须同ASTM的规范进行比较，而不是和“等同的”其它材料规范进行比较。

6.4 Hazardous Substances Requirements 有毒有害物质要求

Cooper markets and sells product all over the world and many of our products must comply with various directives and legislation related to controlling, reducing or eliminating hazardous substances. Many of the latest initiatives originate from various European directives and apply to product sold in various European countries. However due to the ever expanding global marketplace, most of these standards are being applied to US sold products in addition to product sold in Europe. Various Industries such as automotive, medical and electrical have specific requirements that relate directly to these standards. Some of the most common referred to directives include:

库柏的产品在全世界范围内销售，很多产品必须遵守与控制、减少或消除有毒有害物质相关的指令和法规。许多最新的法令都来自于欧盟的指令，并用于各欧盟成员国国内销售的产品。然而，除了对销往欧洲的产品之外，由于全球市场不断扩大，许多指令和法规也正用于在美国销售的产品。不同行业 – 如汽车行业、医药行业和电子行业都有与这些法规相关的特定要求。以下是最普遍的指令：

REACH: An acronym for an EU Regulation entitled **Registration, Evaluation and Authorization of Chemicals**. REACH came into force in 2007 and replaced a patchwork of pre-existing legislation. REACH aims to (i) ensure a high level of protection for human health and the environment (ii) make the people who place chemicals on the EU market responsible for understanding and managing the risks associated with their use and (iii) promote the use of alternative, i.e. greener/safer chemicals. REACH applies to substances manufactured or imported into Europe in quantities of 1 ton per year or more.

REACH: REACH是欧盟规章《化学品注册、评估、许可和限制》(Registration, Evaluation and Authorization of Chemicals)的首字母缩写。REACH于2007年生效，并取代了之前的一套法律法规。REACH旨在：(i) 确保较高的人类健康和生活环境的保护水平；(ii) 让欧洲的化学品用户有责任理解和管理与化学品相关的使用风险；(iii) 促进替换品的使用，如使用更环保/安全的化学物质。在欧洲制造或者进口欧洲的化学品总量每年1吨及以上均采用REACH。

WEEE: An acronym for EU legislation restricting the use of hazardous substances in electrical and electric equipment (Directive 2002/95/EC) and promoting the collection and recycling of such equipment (Directive 2002/96/EC) has been in force since February 2003. The objective is to increase the recycling and/or re-use of such products. It also requires heavy metals such as lead,

mercury, cadmium, and chromium and flame retardants such as polybrominated biphenyls (PBB) or polybrominated diphenyl ethers (PBDE) to be substituted by safer alternatives.

WEEE: WEEE 是欧盟规章《电子电气产品的废弃指令》(Waste Electrical and Electronic Equipment) 的英文首字母缩写, 于2003年2月生效, 用于限制有毒有害物质在电子电器设备中的使用(2002/95/EC指令)和促进对这些设备的回收和再利用(2002/96/EC指令)。该指令的目的在于对这些电子电气产品的重复利用。同时也要求重金属(如铅、水银、镉、铬)和阻燃剂如多溴联苯(PBB)或多溴二苯醚(PBDE)被更安全的物质替换。

RoHS: An acronym for a European directive that stands for the “restriction on the use of certain hazardous substances” in electrical and electronic equipment”. Its goal is to control the use of certain hazardous substances in the production of new electrical and electronic equipment (EEE) and it is a partner directive to the WEEE legislation. The RoHS regulations apply to those businesses defined as producers that manufacture or assemble electrical or electronic equipment in the UK or import electrical or electronic equipment from outside Europe. RoHS restricts the use of mercury, lead, hexavalent chromium, cadmium and a range of flame retardants notably polybrominated biphenyls and polybrominated diphenyl ethers.

RoHS: RoHS是欧盟指令《在电子电气设备中限制使用某些有害物质指令》(restriction on the use of certain hazardous substances” in electrical and electronic equipment)的英语首字母缩写。其目的在于控制某些有毒有害物质在新电子电气设备(EEE)生产中的应用, 该指令和WEEE是一对组合法规。RoHS法规 应用于在欧盟内制造或装配电子电气制造商的业务, 或者用于从欧洲以外地区进口的电子电气设备。RoHS限制了水银、铅、六价铬、镉和多种阻燃剂如多溴联苯和多溴二苯醚的使用。

Cooper may require compliance with one or more hazardous substance initiatives. Each Division of Cooper has different requirements and compliance guidelines. Contact your Cooper Purchasing or Quality representative for additional information.

库柏要求供应商遵守这些有毒有害物质法令。各事业部有各自的要求和遵守的纲领。请与库柏采购或质量代表联络, 获得更多信息。

7 • Packaging & Labeling 包装与标识

The supplier is expected to meet the shipping, packaging, and label requirements as specified by the Cooper using location. Country of origin needs to be labeled on the product in accordance with Cooper Industries procedures and the laws of the shipping, in-transit, and receiving countries.

库柏要求供应商必须满足库柏在运输、包装和标识方面的特殊要求。根据库柏有关运输、过境和接收国程序和法律要求, 产品上必须标明原产国信息。

Unless otherwise agreed upon with Cooper, suppliers should ensure that the product packaging and pallet unit are capable of passing International Safe Transit Association (ISTA) requirements. Specifically, shipping packages should be tested to the specific ISTA requirement, depending on package type and weight.

除非事先征得库柏的同意, 供应商必须保证产品包装和装运货盘完全符合国际安全运输组织(ISTA)的要求, 并根据不同的装箱类型和重量, 通过ISTA的运输包装测试要求。

Cooper Purchase Orders define required routing information. Non-compliance will result in refusal of transportation charges back to the shipper and a chargeback penalty fee as well. 库柏的采购订单对常规的要求有详细说明。不符合规定的结果就是供应商将承担所有拒收的运输费用, 以及相应的扣款罚金。

8 • Supply Chain Protection and Security 供应链保护和安全



Cooper Industries is committed to securing its supply chain and expects its Suppliers to accept responsibility for factory and cargo security up to the point of delivering freight to the appointed forwarder. To that end, Cooper Industries may assess its Suppliers' supply chain security procedures and practices. Supply chain security best practices are available on the U.S. Customs and Border Protection Customs-Trade Partnership Against Terrorism website:

www.cbp.gov/xp/cgov/trade/cargo_security/ctpat

库柏工业集团致力于保护自己供应链的安全，并期望供应商接受工厂和货物安全的责任 – 从货物发运到指定的承运商。库柏最终可以评定供应商的供应链安全程序和执行情况。供应链安全的最佳实践可以在美国海关和边境保护海关-贸易反恐合作关系网站上获得，网址：

www.cbp.gov/xp/cgov/trade/cargo_security/ctpat

9 • Management of Change 变更管理

9.1 Management of Change 变更管理

Cooper requires all suppliers to inform us of all supplier related changes and in many cases get prior approval from Cooper to proceed with a change. The effect of many different types of changes that occur without prior approval can adversely affect our business. **As a supplier to Cooper Industries you are required to notify us in writing via a Supplier Change Request (see below) in no less than 90 days prior to any anticipated change.** The request must process through your current purchasing contact at the Cooper Division you currently do business with. Unapproved changes made by the supplier are subject to chargebacks on costs incurred related to the change.

库柏要求所有供应商有任何相关的变更必须事先通知库柏，并在变更之前得到库柏的批准。没有事先获得批准的变更会对我们的业务产生许多不利的影晌。所以，**作为库柏的供应商，如果要进行任何变更，必须在90天之前，递交供应商变更需求（见下表）给库柏。**供应商变更需求必须通过库柏事业部的采购联系人进行处理。供应商若有未被批准的变更，将承担由此自行变更造成的一切损失费用。

Managing any change correctly is critical and each event must be done to minimize any potential adverse effect. There are a number of different “**types of change**” that require customer approval from Cooper. **The Supplier Change Request form indicates the change types** that require approval before any significant planning or expense is undertaken. Cooper typically has specific requirements for each of these change types and as a current supplier you are required to submit and provide evidence that the product impacted by the change is meeting requirements as directed by your Cooper Divisional representative.

正确处理变更是至关重要的，而且每个变更活动必须将任何潜在的不利影响降至最低。库柏需批准如下各种“**变更类型**”。**供应商变更需求表表明变更类型**必须在获得库柏的正式批准后才能启动实质性的变更计划和相应费用。库柏对变更类型的每个内容都有详细的要求，供应商需提交相应的分析报告和证据来说明变更后的产品能满足库柏各项要求。

9.2 Supplier Change Request (SCR) 供应商变更需求

Cooper provides a form called the **Supplier Change Request Form**, (SCR), which must be completely filled out and sent to your purchasing representative. An SCR cannot be used for a change occurring in less time than 90 days. An SCR is only to be used for Permanent changes; it does not apply to a temporary change. Temporary changes are handled through the receiving plant's temporary deviation process.

库柏提供**供应商变更需求表**，这张表必须完整填写并发送给库柏采购代表。供应商变更需求表不应用于少于90天的临时变更，仅用于永久性变更；临时变更将通过库柏收货工厂的让步接收程序来处理。

COOPER Supplier Change Request
This approved form must accompany your PPAP submission

Supplier Information

Supplier Name		Date of Request	
Supplier Number		Cooper Purchasing Contact	
Supplier Location(s)		Supplier Contact Name	
		Supplier Contact Phone #	
		Supplier Contact Email	

Date of Proposed FUTURE Change: _____

Description of Change (Please describe in detail the nature of the change)

This section is reserved for parts sourced through CES (Cooper Select Strategic)

CES Product? Yes No Name of CES SUE: _____

Customer Information: (Please list additional part numbers on a separate sheet if necessary)

Customer Part Number(s) Affected	Customer Location(s) Affected (city/state)

Type of Change (Note: You are required to notify and receive approval from Cooper for any of these types. (Select One) Designation (in) are the recommend PPAP Level submissions for this type of change

<input type="checkbox"/> 1. Change to construction, material or component (L3)	<input type="checkbox"/> 7. Product/process changes on components of the product (L4)
<input type="checkbox"/> 2. New, additional or modified tools (L3)	<input type="checkbox"/> 8. Change in test or inspection method (L4)
<input type="checkbox"/> 3. Upgrade or rearrangement of existing tools (L2)	<input type="checkbox"/> 9. Bulk Material: New source of raw material (L2)
<input type="checkbox"/> 4. Tooling, production or equipment transferred to different site (L3)	<input type="checkbox"/> 10. Change in product appearance attributes (L4)
<input type="checkbox"/> 5. Change of supplier or non-equivalent materials/services (L3)	<input type="checkbox"/> 11. Change in production process or method (L4)
<input type="checkbox"/> 6. Product when tooling has been inactive for 12 months (L2)	<input type="checkbox"/> 12. Change of Sub-Supplier or material source (L3)

Reference: Section 3 Table 3.1 on Page 13 of AQIG PPAP 4th edition (May 2006)

The SCR should be filled in completely and sent to the Cooper divisional purchasing representative you work with. You should include part numbers and a timing plan to outline your organization's change preparation in addition to any quality planning that you are doing to minimize the risk. It is possible that you will be asked to submit PPAP for the change depending on the type of change you are requesting. Cooper considers some types of change, such as **change in bulk or raw material (change number 9)** to be significant and, therefore, will likely request a PPAP submission to ensure product conformance.

供应商变更需求表应完整填写并发送给库柏事业部采购代表。供应商应填写产品料号和时间进度，概述供应商的各项变更准备以及最大限度降低风险的质量计划。库柏可要求供应商根据提出的变更类型，提交相应的PPAP。如**大批量材料或原材料变更(变更号9)**，因此会要求供应商提交PPAP，保证产品的符合性。

To the right is the Cooper Supplier Change Request (SCR) Form that must be submitted for approval prior to proceeding with any significant planning for your company's change. The Supplier Change Request (SCR) is located within the PPAP Toolkit which may be found at: <http://www.cooperindustries.com>

右边表格是库柏的供应商变更需求表(SCR)，要求供应商在做任何变更的计划之前提交库柏批准。此表已包含在PPAP文件包内，也可在下述网址得到此表。

<http://www.cooperindustries.com>

10 • Corrective Action 纠正措施

10.1 Methodology – 8D 方法

Cooper suppliers must maintain an effective closed loop corrective and preventive action system, used when process or product non-conformances are identified to have occurred or have the potential to occur.

库柏供应商必须维护有效的闭环式的纠正与预防措施体系，该体系应用于已发生或可能发生的过程或产品的不符合现象。

When supplier non-conformances are identified within a Cooper Manufacturing Site or Business unit, a supplier corrective action request may be initiated. Determination of when a corrective action will be issued is the responsibility of the Cooper Industries Manufacturing Site or Business Unit. Feedback from the supplier shall be within the Cooper **provided 8D format**.

当在库柏的生产工厂或业务部门中确定了供应商的不符合现象，供应商必须马上采取纠正措施。库柏生产工厂或业务部门需明确纠正措施时间限定。供应商应把反馈行动填写在**库柏提供的8D格式中**。

It is expected that the supplier be responsive with regard to status and information requests. The Cooper Industries Corrective Action Request process is as follows:

供应商必须及时反馈纠正措施的状态和相关信息。以下是库柏纠正措施的流程：

- a. Nonconformance identified by Cooper Industries or a customer of Cooper.
库柏或库柏客户明确不合格现象；
- b. The Cooper receiving location will issue a request for corrective action to the supplier.
库柏的接收单位将向供应商发出纠正措施要求；
- c. Supplier will supply containment response to Cooper Industries within 24 hours.
供应商将在24小时内提供给库柏围堵措施；
- d. Supplier will supply root cause and corrective action plan response within **the timeframe described on the 8D form**.

通常供应商在**8D报告要求的时间范围内**提供根本原因分析和纠正措施计划，特定要求除外。

- e. Supplier will provide evidence of effectiveness of corrective actions within **the timeframe described on the 8D form.**

供应商在**8D报告要求的时间范围内**提供有效实施纠正措施的证据，特定要求除外。

10.2 Chargeback 扣款

Non-conformances on product supplied to Cooper can have a large affect on deliveries and product performance. In the case of a nonconformance, it is the responsibility of the Supplier to insure adequate conforming parts or material is delivered in time to prevent any line stoppage situations. This can be accomplished in the following ways

提供给库柏不合格产品，将极大影响产品交付和产品功能。一旦发现不合格现象，供应商应负全责并确保有足够的合格产品能及时补货，以防止停产现象，可采取以下措施：

1. Expedite shipping of conforming and certified parts so they arrive before line stoppages occur; **or**
加速发运检验合格的产品并确保在生产线停产前到位； **或者**
2. Provide sorting, repair or rework resources to the appropriate Cooper facility in a timely fashion to prevent any line shortages.
及时向库柏工厂安排挑拣、修理或返工人员，防止生产线上产品短缺。
3. If 1 and/or 2 cannot be accomplished within a timely fashion to prevent line stoppage, Cooper Industries reserves the right to sort, repair or rework the non-conforming material at Supplier's expense in order to insure acceptable parts or material is utilized and production requirements are met. All sorting will be coordinated with the Cooper production facilities by the appropriate plant personnel.

如果供应商无法及时采取上述措施 1 和 2，为了确保使用合格零件并满足正常生产要求，库柏保留对不合格材料挑拣、修理或返工向供应商收费的权利。所有的挑拣活动由库柏工厂的人员进行协调。

In the event the non-conforming part or material results in costs to Cooper (costs may include charges related to sort, rework, repair, product scrap, production downtime, customer imposed charges, warranty or recall costs, shipping and Engineering effort), Cooper reserves the right to charge the supplier **costs associated with the non-conformance.**

由于不合格零件导致库柏产生的成本费用（成本费用包括与挑拣、返工、修理、产品报废、生产停工、客户罚款、售后服务或产品召回费用、运输和工程人员费用等），库柏将保留权利向供应商收取**与不合格品相关的费用**。

11 • Monitoring and Improvement 监视与改进

11.1 Supplier Scorecard / Performance Evaluation 供应商计分卡/业绩评估

Cooper continually monitors and ranks suppliers using a supplier scorecard. The output of the supplier scorecard is used by the **Cooper** Sourcing and Quality teams to determine opportunities to grow business and to determine opportunities for supplier improvement. The Cooper supplier scorecard is comprised of **5** major elements: **Quality, Delivery, Payment Terms, Lead Time and Productivity.** **The Total score is the Service score plus Productivity for a total of 100 points.**

库柏用记分卡持续监督供应商绩效，并对供应商进行分级。采购和质量人员利用供应商记分卡来确定供应商是否可有新业务机会，同时也用来确定供应商可改进的机会。库柏供应商记分卡有**5**个主要指标：**质量、交付、付款条件、生产周期和生产力**。



Scored Metrics

Category	Metric	Definition	Total Points							
Quality	PPM	Units Rejected / Units Received	25	Performance Criteria	<100	101-250	251-500	501-1000	1001-2000	>2000
				Points	25	16	10	5	2	0
Delivery	S-OTD %	Lines in full within (Stat Date+Goods Receipt)/ Total Lines Due	25	Performance Criteria	100-95%	<95-90%	<90-80%	<80-70%	<70-60%	<60%
				Points	25	16	10	5	2	0
Payment Terms	Actual Days or Discount %	Terms in Cooper System (Weighted Ave. by Price) OR Discount Percentage	15	Performance (Days)	>90	90-75	75-60	60-45	45-30	<30
				Performance (Discount)	2%	<2 to 1.5%	<1.5 to 1%	<1%	<1%	<1%
				Points	15	10	7	5	1	0
Lead Time	PIR LT (Days)	Lead Time in Cooper System-PIR (Weighted Average by Quantity Received)	10	Performance Criteria	<5	>5-10	>10-20	>20-30	>30-50	>50
				Points	15	10	7	5	1	0
Service Score			75							
Material Economics	MCER Metric (%)	Difference in Price (current YTD to previous year ave price)@ Current Year Quantity / Total Spend @ Current Year Quantity	25	Performance Criteria	>-5%	-5 to -3%	<-3 to -2%	<-2 to -1%	<-1 to 0%	>0%
				Points	25	16	10	5	2	0
Total Score (Service + MCER)			100							

11.2 Continuous Improvement 持续改进

Cooper Suppliers are expected to create and maintain continuous improvement plans focused on **bettering** Quality, Delivery, Cost, and Service performance. Regular reviews will be scheduled to **address** progress and results of improvement plans. Supplier continuous improvement activity is taken into account in scorecard performance and in supply strategy, **and is indicated by the Segmentation Level. The segmentation level is a value (1-4) based on the monthly and year to date values on the Scorecard. Cooper's desire is to partner with suppliers that meet the criteria of a Level 1 or 2 performers. Any supplier that consistently performs at the Level 3 or 4 will be considered for removal on the Approved Supplier List and a candidate for resourcing.**

库柏期望供应商可以在质量提升、交付、成本和服务表现方面建立和维护持续改进计划。供应商可制定评审计划来定期评审改进情况和改进结果。供应商的持续改进活动被考量在记分卡的业绩和供应策略中，同时由分段级别来表示。分段级别的数值(1-4)是基于记分卡上的月度和年度数据。库柏的愿望是和满足等级1和等级2的供应商合作。业绩持续保持在等级3和等级4的供应商会被考虑从合格供应商名录上移走并另外寻求采购候选供应商。

Segmentation				
Min Performance	Additional Criteria	Segmentation	Supplier Benefits	Action for Commodity Team
Level 1	Commodity Specific Technology, Specific certifications (IPC etc), Process capabilities, Consignment etc	Strategic	Recommend for new business	Involve in NPD efforts, other Supplier Integration efforts
Level 2		Preferred	Potential for additional business	Work to raise to Level 1 performance
Level 3		Maintain	No additional new business	Work to raise to Level 2 or 1 performance
Level 4		Non-Performing	None	3 consecutive months of Level 4 - Implement improvement plan, or present detailed plan to qualify alternate source

The supplier's management should take a lead role in continuous improvement by embracing the concept and by adopting continuous improvement as a key element of their business plan.

供应商管理层应积极响应持续改进理念，并作为供应商业务计划的关键因素带头进行持续改进活动。

11.3 Supplier Development 供应商开发

Supplier development activities within the supply base **allow Cooper and our suppliers to drive continuous improvement efforts. It is expected that the supplier is capable of providing an**



improvement plan with detailed actions to support site level score. Supplier development initiatives within a supplier should focus on the following:

供应商开发活动让库柏和供应商一起努力推动持续改善。供应商被期望能提供有详细行动措施的改善计划来支持等级分值。供应商开发行动应关注以下内容：

Improving process control

改进过程控制

- | | |
|--|---------|
| • Improving quality systems | 改进质量体系 |
| • Improving product quality | 改进产品质量 |
| • Improving supplier delivery | 改进供应商交付 |
| • Reducing costs | 降低成本 |
| • Improving Supply Chain effectiveness | 改进供应链效率 |
| • Reducing lead time | 降低生产周期 |
| • Improving productivity | 提高生产力 |
| • Increasing capacity and Training | 提高产能和培训 |

Cooper will select key suppliers for development who present the best opportunity for improvement and who present the greatest potential impact to the organization. Once a supplier has been selected, a cross-functional team consisting of appropriate Cooper and supplier personnel will be formed to work together and have regular follow-up meeting to ensure that certain targets are achieved. Cooper may choose to provide training to suppliers on techniques for operational and process improvement.

库柏将挑选最佳改进机会和对公司有重大潜在影响的供应商进行开发。如果某个供应商被选中，将成立由相关库柏人员与供应商的人员组成的跨职能小组，一起工作，并进行定期的跟进，确保完成目标。库柏会挑选提供供应商培训营运和流程改善方面的技能。



SUPPLIER AGREEMENT CONFIRMATION

供应商同意确认书

(Supplier) _____ agrees to fully comply with requirements set forth in the Cooper Supplier Manual (Revision 1).
(供应商) _____ 同意完全遵守库柏工业集团的供应商手册(版本号1)中的要求。

Supplier Authorized Representative _____ Date _____

Title _____

供应商全权代表 _____ 日期 _____

职务 _____

Received by:

Cooper Representative _____ Date _____

Division _____

Title _____

接收:

库柏工业集团代表 _____ 日期 _____

事业部 _____

职务 _____

Signed Manuals should be submitted via email, fax, or mail to your Cooper representative.
签署后的手册须通过电子邮件、传真或邮寄的方式提交给库柏代表。

SAP Vendor# (existing suppliers) SAP中的供应商代码 (现有供应商)

DUNS# (new suppliers) DUNS 代码 (新供应商) _____