Generic Supplier Logistic Protocol

Document:	**Instruction**
Reference:	TR-I-MAT-003
Revision:	3.0
Effective Date:	10/29/2025

1- PURPOSE

The purpose of the document is to define generic logistic terms and conditions for suppliers to ensure a long-lasting partnership with Wabtec, sharing the same vision and objectives in terms of quality, flexibility and customer-centricity, optimizing cash conditions for Wabtec.

2- SCOPE

The Generic Supplier Logistic Protocol sets the baseline and the basic parameters for the collaboration between Wabtec and its Suppliers. It describes the overall requirements, the expected way of working, how to manage these requirements, which associated tools are to be implemented and which Key Performance Indicators (KPIs) are used to control Suppliers' performance.

The Generic Supplier Logistic Protocol is an appendix of the Supplier Frame Agreement (SFA), and it defines standard terms and conditions to be applied to all Wabtec projects.

During the tender phase, additional and/or different project requirements will be identified and defined in the specific clause by clause (*TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*).

The Generic Supplier Logistic Protocol is composed by four main sections:

- Logistic terms and conditions: they determine all the contractual logistic requirements which should rule the relationship between Wabtec and the Supplier;
- Information flow: it defines the tools and means used to exchange requirements and establish an effective communication between the parties;
- Physical flow: it determines the types of physical flows to ship/receive goods and services;
- Performance management: it explains the supplier performance KPIs and the related targets.

3- DEFINITIONS (IF APPLICABLE)

ECM: Engineering Change Management

Finish Goods: In the document, it represents the good procured to Wabtec, which is a Finish Good for the Supplier

RMA: Return Material Authorization

NCR: Non-Conformity Report

T&C: Terms and Conditions

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SFA: Supplier Frame Agreement

MOQ: Minimum Order Quantity

Period Order Quantity: lot-sizing technique under which the lot size is equal to the sum of the requirements for that specific period

OU: Operating Unit

M&A: Mergers & Acquisitions

OAs: Order Acknowledgments

B/C Analysis: Benefit/Cost Analysis

LT: Lead Time

Safety Stock: inventory that is carried to protect against forecast errors, as well as fluctuations in demand or supply (APICS dictionary)

S-OTD: Supplier On time to deliver

S-OTP: Supplier on time to promise (last promise date)

S-OTP1: Supplier on time to promise (first promise date or latest promise date mutually agreed between the parties)

HTS: Harmonized Tariff Schedule

KPI: Key Performance Indicator

PO: Purchase Order

OE: Original Equipment

EDI: Electronic Data Interchange

ERP: Enterprise Resource Planning

WT: Wabtec

S&OP: Sales and Operations Planning

MPS: Master Production Scheduling

CMR: Convention on the Contract for the International Carriage of Goods Wholly or Partly by Road

The terms used with a capital letter that are not defined in this Generic Supplier Logistic Protocol shall be referred to the terms defined in the SFA.

4- ROLES AND RESPONSIBILITIES (IF APPLICABLE)

The Logistic Protocol discussions and negotiation with suppliers are jointly driven by Operations and Sourcing and they are part of SFA negotiation.

5- REFERENCES

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TR-I-MAT-004 – Supply Chain Assessments

TR-F-MAT-009 – Supplier Supply Chain Assessment Template

TR-F-MAT-010 – Supplier Capacity Audit Template

TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause

ISPM15

ISO 14001:2015 "Environmental Management System"

TR-S-MAT-004 – Sustainable packaging

6- REVISION HISTORY

Date	Revision	Reason / Description
04/18/2024	1.0	Document Creation
09/25/2024	2.0	Change to the frequency for sharing Safety Stock level from supplier (10.1.4)
10/29/2025	3.0	Inclusion of references to TR-S-MAT-004 – Sustainable packaging (10.3.2, 10.3.3)

7- REVIEW AND APPROVAL

	Business Unit	Name	Function
Prepared by:	Transit	Beatrice Carnevale	Transit Supply Chain and SIOP Manager
Verified & approved by:	Transit	Leyre Aguirrebeña	Transit OPS Digitalization & Sustainability Director
	Transit	Olivier Derouet	Transit OPS Performance, Strategy & Sustainability VP
	Transit	Frederic Koeltz	Sourcing sustainability and performance leader
	Transit	Elise Postel	Transit Legal Counsel
	Transit	Aurore Durand	Transit Quality Business Process Owner
	Transit	Eric Dambrun	Transit QMS Director
Released by:	Transit	Christophe Langevin	Vice President Field Services, Quality and EHS Transit

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8- INSTRUCTION

10.1 Logistic terms and conditions

10.1.1 Order Management

The Supplier receives two types of information from the Purchaser:

- Firm orders:
  - SFA – long term contract with the Supplier covering the supply of materials subject to predetermined conditions. It has a determined delivery frequency and a firm period can be agreed with the Supplier. In case of SFA signed, Wabtec will provide the Supplier with a delivery schedule, specifying delivery dates and quantity requirements per part number;
  - Spot Orders – orders which are governed by the Terms and Conditions of Purchase included in the PO, referred to single requirements needed. Spot Orders should be placed according to the Supplier constraints and commitments (capacity, supply lead times, etc.);
- Forecast – expression of future requirements, not meant to represent a firm commitment. It provides Supplier with visibility to organize internal activities and to launch procurement activities on time. Changes on quantities and dates are allowed. At least once a month, Wabtec shall make its best efforts to provide the Supplier with a forecast for the next 12 months rolling. Only the quantities specified in the Purchase Orders shall be considered as binding upon the Parties.

Firm Orders must be formally acknowledged by the Supplier within 3 working days after PO receipt, without any deviation from the terms specified by the Supplier in the PO (including but not limited to incoterms, lead times, pricing, quantities, delivery dates, etc.). The acknowledgment must consider any criticalities in terms of material availability and capacity (production bottlenecks).
Special exceptions can be formalized in the more specific clause by clause (please refer to the form *TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*).
In case of any delays or delivery decommitments, Supplier must promptly notify Wabtec sharing information about actions taken to mitigate the negative impact on Wabtec production and operations.

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10.1.2 Frozen and Flexible period

No frozen period is allowed.
Some exceptions can be defined and applied depending on specific projects in accordance with the specific clause by clause agreed between the Parties (refer to the form *TR-F-MAT-014 – Supplier Logistic Protocol – Clause by clause*).

10.1.3 Lead Times

Wabtec and the Supplier must align the Lead Times for each part number within the scope of supply on a regular basis but in any case, not less than every quarter.
The Lead Time is composed of:

- Raw material supply lead time: timeframe occurring between PO placement and raw material receipt at Supplier dock;
- Manufacturing lead time: time needed to manufacture Finish Goods;
- Transportation lead time: time needed by the carrier from door to door to deliver the part at the Incoterms point.

The Supplier should provide the LT neither in calendar days nor in working days, but in weeks to avoid any confusion or misunderstandings.

10.1.4 Safety Stock

During the execution of the SFA, if the measured supplier performance (see section *10.4* on *Supplier Performance Measurement*) are below a predefined threshold (S-OTD<90%), the Supplier agrees to keep a Safety Stock at its premise, free of charge for Wabtec. In particular:

- Safety stock on Finish Goods – quantity to be jointly defined, typically covering from 2 to 4 weeks of demand;
- Safety time (buffer) on components, to mitigate the risk of material shortages, typically covering from 2 to 4 weeks of demand.

After three consecutive months performing at the required predefined threshold, the Supplier may request Wabtec to remove the Safety Stock.
The Supplier must share periodically (once a month) per each item the Safety Stock status, indicating:

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- Contractual Safety Stock quantity
- Actual Safety Stock level
- If the actual level is below the contractual quantity, a planned date for full replenishment

The calculation of the Safety Stock levels will vary from case to case but must take into account:

- Supplier internal capacity (bottlenecks) and Tier 2 suppliers' and/or any subcontractors capacity
- Lead Times;
- NCRs and replacements.

The Supplier must ensure that Safety Stock is compliant with the latest configuration defined for each part number (effective ECM process in place).
Wabtec has the right to perform any type of assessment to verify the Safety Stock levels and the related stock policy implemented.

10.1.5 MOQ and Lot sizing

The Minimum Order Quantity must be defined based on item category and ABC class.
In particular, the target for items belonging to A class is not to have any MOQ.
The Period Order Quantity should not exceed:

- 10 days (2 weeks) of demand for A items
- 20 days (4 weeks) of demand for B Items
- 60 days (12 weeks) of demand for C items

This is valid for OE projects and not for spot orders/spares. Specific order quantity might be agreed for Services business.

10.1.6 Management of Non-conformities

Wabtec defines as a non-conformity any deviation from formalized contractual requirements (defective parts, non compliant packaging, safety instructions not respected, etc.).
In case of defective Component detected by Wabtec during the Warranty Period, a formal complaint could be addressed to the Supplier using the Wabtec Quality tool.
Wabtec and the Supplier must collaborate to promptly establish effective corrective actions to avoid any disruptions in Wabtec production and operations:

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- Replacement of the defective part
- Repair of the defective part by Wabtec: Wabtec has the possibility to repair the part itself or have it repaired by a 3rd party only if Supplier fails to do it within 48 hours. In this latter case, Wabtec must share the repair solution with the Supplier and the repair costs will be charged back to the Supplier
- Repair of the defective part by the Supplier:
    - In case of RMA, the Supplier must return the authorization within 24 hours. If the Supplier fails to answer within the abovementioned timeframe, Wabtec will ship back the defective Component to the Supplier without an RMA number;
    - In case the RMA is not requested, the Supplier must provide Wabtec with a planned delivery date of the repaired Component within 24 hours

In case a Component is out of warranty, the Supplier shall quote the repair to Wabtec.

If a Safety Stock is in place in accordance with Section 10.1.4 hereabove, the replacement Component must be retrieved from such Safety Stock to ensure an on-time delivery and no impact to Wabtec production.

Repaired or replacement Components must be sent back to Wabtec under a specific NCR purchase order. The Supplier shall be liable for any additional costs due to the impact of the non-conformity (reworks, production stoppage, etc.) in accordance with Article 14 of the SFA.

In addition to this, the Supplier must provide Wabtec with a root cause analysis of the failures and a corrective action plan, to be discussed during the recurrent operational reviews between the two parties.

10.2 Information flow

10.2.1 Supplier Collaboration Portals

Wabtec uses two main Supplier Collaboration portals:

- Supply-On
- SCC – Supply Chain Connect

Supplier Collaboration Tools manage several types of information:

- Delivery Schedule
- Spot Orders
- Order Modifications
- Forecast

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- Order Acknowledgment from Supplier
- Advanced Shipping Notice (ASN)

The Supplier Collaboration Tools can be used to exchange information for any kind of contract (both SFA and spot orders).
Supplier Portals are accessible through a dedicated web interface or, alternatively, a full EDI integration with Supplier's ERP can be implemented.
The Supplier will receive a specific training by Wabtec and the Web tool provider.
Due to M&A and a different ERP landscape across Wabtec, there are other collaborative tools existing which have not been mentioned above because they represent a minority. Wabtec vision is to drive towards the adoption of one only web-based collaboration tool in the future, in parallel with the strategy of adopting one unique ERP.
Until that time, the specific Supplier Collaboration portal or the specific communication channel (i.e. email) to be used will be defined in the related specific Clause by Clause (*TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*).

10.2.2 Meetings

Wabtec and the Supplier must setup a weekly routine of follow-up meetings, with the aim of reviewing:

- order book (horizon: at least 8 weeks in the future)
- delivery priorities
- any decommitment vs the original delivery plan
- missing OAs
- new demand placed since last review.

In addition to this, a monthly meeting must be set up to share Supplier performance (KPI) and any eventual recovery action plan.
When Supplier performance measurement drops down below a predefined threshold (S-OTD<90%), some assessments can be required by Wabtec at Supplier premise to assess root causes of performance deviations, identify opportunities for improvement and ensure alignment with contractual obligations. The agenda of the visit will be shared one week in advance by Wabtec.
Following the visit, a detailed report will be issued, outlining findings and pointing out corrective actions.
See the detailed section *10.4.2* about *Supplier Assessments*.

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In severe cases, Wabtec can decide to place an expeditor at Supplier premise (partially or permanently) at Supplier's costs until delivery commitments are met and performances get back above defined targets.

10.3 Physical flow

10.3.1 Logistic Flows

Wabtec manages with Suppliers mainly four types of Logistic Flows:

- Standard Flow – The Supplier is responsible for delivering Components at Wabtec warehouse, according to the terms defined in the PO (Lead Times, Incoterms, delivery batch, etc.);
- Just-in-Time delivery – The Supplier is responsible to deliver goods directly at Wabtec production line (no storage at Wabtec warehouse), according to the call-offs sent by Wabtec;
- Vendor Managed Inventory – Wabtec manages Supplier's inventory at its premise. The Supplier must have visibility from Wabtec about forecasted and actual consumptions. The ownership of the Components is transferred only when the stock is withdrawn by Wabtec;
- Kanban – 2 bin strategy adopted usually for C class materials. The Supplier is responsible to fill-in the double bin according to Wabtec forecasted consumption.

The type of Logistic Flow to apply is specified in the related specific Clause by Clause (*TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*).

10.3.2 Packaging, Labelling and Documentation

Packaging

Packaging is essential to make sure integrity of each product or kit delivered is ensured during the handling activities throughout the entire supply chain (transport, goods receipt, unpacking and put away).

The packaging must also guarantee the safety of the warehouse keepers and operators using it. The final goal is to work together with the Supplier to avoid any no value added activity of unpacking and repacking, minimizing logistic effort in handling activities and avoiding risk of damages to the goods, reducing at the same time the ecological impact.

The best solution is to implement returnable packaging. A B/C analysis will be conducted by Wabtec case by case to evaluate the profitability.

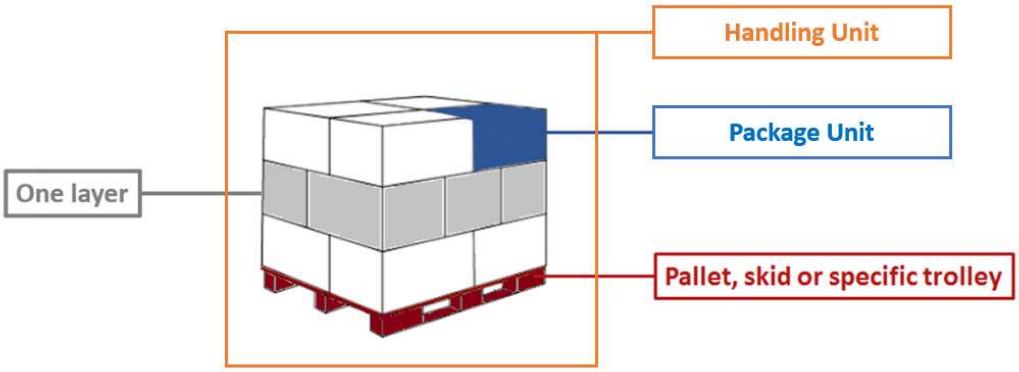
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The specific requirements and instructions for packaging must be defined and detailed in the specific Clause by Clause (*TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*).

Four main levels of packaging are defined:

- Package Unit: single unit that is handled and stored;
- Layer: group of package units that lie on a horizontal plane;
- Handling Unit: group of Package units that are handled on a load carrier (i.e. pallet);
- Pallet, skid or specific trolley: support for a group of package units.



The choice of the load carrier is made based on the dimension of delivered items and it is specified in the specific related Clause by Clause (*TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*):

- For an item less than 1200mm * 800mm, Europe pallet is recommended (EPAL standard)
- For an item more than 1200mm *800mm, a pallet or specific framework is required, which has to be agreed with Wabtec

In some case returnable packaging can be used. The number of load carriers in transit, maintenance process and replacement condition will be jointly defined between Wabtec and the Supplier and specified in the related Clause by Clause (*TR-F-MAT-014 – Supplier Logistic Protocol – Clause by Clause*).
Packaging must be composed of recyclable material (metals, wood, cardboard).
The pallets must be treated according to the ISPM15 standard normative.
The pallets must be in good use condition. Any defective pallet will not be accepted by Wabtec.

All packaging material must ensure quality and safety and must be compliant with ISO 14001:2015 "Environmental Management System".

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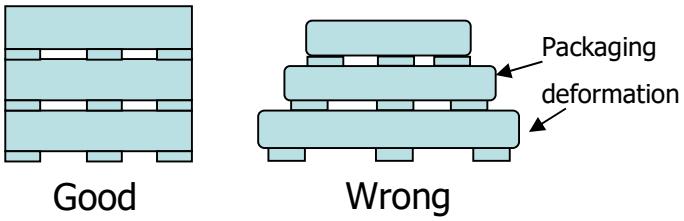
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All parts have to be well-protected in their packaging by using:

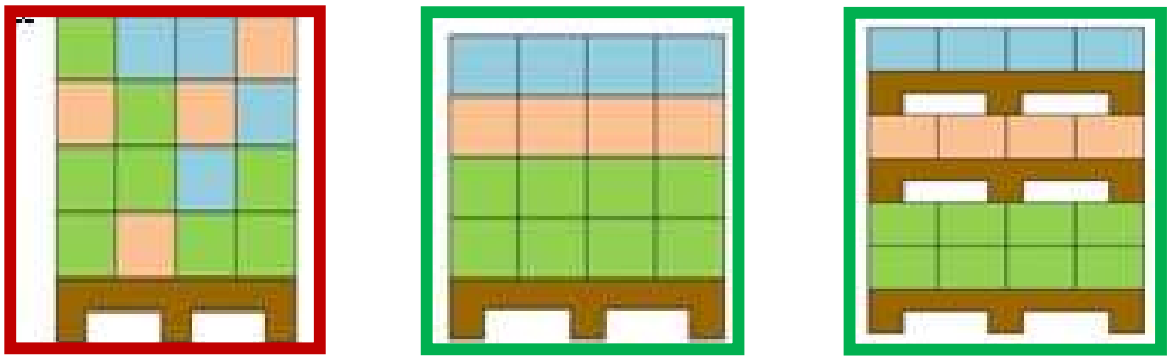
- Anti-static film for electronic components
- Heat shrink film (anti-UV and anti-condensation)
- Protection type " LPDE foam " on painted surfaces
- Cable protection type bubble wrap
- Protective cap on the shaft end for motors, and the tube end for the piping
- Item screwed
- Functional rule: respect a distance of at least 50mm between the part and its conditioning

Common sense rules:

- The heavier cartons should be placed at the bottom and the lighter ones on top
- the straps should be tightened but shouldn't deform or damage the boxes
- No metal strap allowed
- The film must maintain all the boxes on the pallet



For multi pallet reference, same references should be grouped together on the same layer and separated with spacers:



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In particular, as stated in the *TR-S-MAT-004 – Sustainable packaging*, to reduce the environmental impact of our packaging by promoting the use of recyclable, reusable, and resource-efficient materials and processes, following rules must be observed:

1. **Packaging Minimization:**
   - Avoid unnecessary packaging layers by opting for direct shipping in the original supplier packaging whenever possible.
   - Adapt packaging dimensions to closely match product sizes, minimizing unused space.
   - Prioritize lightweight materials to reduce overall weight and transportation emissions.
   - Avoid packaging for single small part
   - Prioritize packaging free of ink (logo brand…)

2. **Design packaging for Circularity:**
   - Utilize mono-material packaging that is fully recyclable to promote a circular economy.
   - Ensure 65% recycled content for plastic as a minimum, and >70% for carton and other fiber materials.
   - Use filling materials exclusively made from fiber-based materials, like recycled paper, with a 100% recycled content.

3. **Hazardous Substances:**
   - Ensure that no harmful chemicals, including Bisphenol A (BPA), phthalates, PFAS, or chlorine-based compounds (e.g., PVC), are present in plastic packaging.
   - For fibre-based packaging, avoid chlorine, optical brighteners, and halogenated bleaching agents.
   - Prioritize the use of natural ink

4. **Sustainable Timber Sourcing**
   - Require that all wood-based materials come from verifiable, sustainably managed forests to protect biodiversity and support ecosystems for all packaging purchased and used in the EU (EUDR European Deforestation Regulation)

5. **Innovations and Alternatives**
   - Regularly assess innovative and sustainable packaging solutions, including paper-based adhesive tapes, fiber materials like grass or hemp, and other eco-friendly alternatives, to continuously enhance our sustainability practices.

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Labelling

All labels must be in English unless another language has been mutually agreed between the Wabtec site and the Supplier. Supplier shall place all markings in a conspicuous location as legibly, indelibly and permanently as the nature of the article or container will permit.

Handling unit labels require the following mandatory information:

- Supplier name
- Delivery address
- Identification of the handling unit in relation to the packing list (i.e. "Pallet 1 of 4, 2 of 4")
- Total number of parcels/package units grouped in the handling unit
- Total weight
- Identification of center of gravity, and, if required: "FRAGILE", "UP / DOWN", "DO NOT STACK" when applicable

Package unit labels require the following information:

- Supplier name
- Parcel's identification
- Wabtec part number and part number description
- Supplier part number
- Quantity
- Unit of measurement
- Revision index / Serial number whenever it is required
- In case of a pallet containing one single part number, this information must be visible on the pallet
- In case of missing part, the Supplier must identify the "urgent" parcel containing it.

Labelling of the part:

Each individual part shall be identified by its own Wabtec part number and serial number / revision index when applicable.

Steel components must be engraved by their material identification and lot number.

For all other components, the Supplier can use easily removable sticker labels.

Documentation

Each delivery must be accompanied by:

- CMR – Convention on the Contract for the International Carriage of Goods Wholly or Partly by Road

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- Delivery Note
- Packing List

In case of international shipment, a commercial invoice should be sent on shipping, both in paper and in electronical format.

If applicable, additional documents should be provided in paper and electronic version:

- Technical and traceability documentation: conformity compliancy certificate, test report…
- Specific logistics documentation: i.e. dangerous goods documentation (Material Safety Data Sheet, Dangerous Goods Declaration), if applicable
- Customs regulation: proof of origin, Customs code (HTS Code) identification

In case of kit, the packing sheet must contain the reference of the kit as well as the detailed list of the material, numbers and quantities included in the kit.

The **Delivery note** must include the following mandatory information:

- General information (shipping entity, receiving entity, transportation company, specific customs system, incoterm, Shipment date);
- Delivery note identification;
- Wabtec contact.

For each Purchase Order number and item:

- Wabtec PO, PO line and part number; Supplier's part number;
- Part number description, revision index and serial numbers if applicable;
- HTS Code (code for customs classification – Harmonized Tariff Schedule);
- Quantity delivered and related Unit of measurement;
- Number of package units;
- Electronic identifiers (barcodes, QR codes, etc.) as specified by Wabtec requirements (if applicable);
- Reference of returnable packaging (if such type of packaging is used);
- Gross weight per packaging;
- Packaging dimensions.

The **Packing list** (1 document per transport) must include the following mandatory information:

- Shipment Date
- Total Gross weight and Packaging dimension

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- Wabtec item reference number and designation
- Item quantity and Unit of Measure
- Handling unit quantity

For each handling unit:

- Number of parcels and Package Unit identification
- Delivery note identification
- Gross & net weight
- Dimensions (length x width x height)

10.3.3 Transport and Customs

Customs management

When customs declarations are required, the Supplier must proactively communicate necessary customs information to the Wabtec counterpart and/or to the Logistic provider acting for Wabtec.
Mandatory information required for customs management include but are not limited to: country of origin, certificates of origin, HTS codes, unit value of material, weight.
The required information must be communicated along with the shipping documentation.
Any order which does not comply with the above requirements will result in the blockage of the transportation and to the application of liquidated damages as per Article 9 of the SFA.

As stated in the *TR-S-MAT-004 – Sustainable packaging*, target is to reduce the environmental impact of transporting our products by implementing optimized routes, efficient vehicles, and best logistics practices.

General Requirements

- Comply with all applicable environmental and transport regulations
- Prioritize transport modes with a lower carbon footprint whenever possible (rail, multimodal solutions, electric or hybrid vehicles for last-mile delivery)
- Minimize secondary packaging and return/reuse packaging whenever feasible.

Route Planning

- Use route-planning software or systems to reduce kilometers travelled and empty runs
- Consolidate loads: combine orders to reduce trips
- Avoid redundant trips and optimize deliveries according to customer locations

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Vehicles and Fuels

- Preference for Euro VI, electric, hybrid, or alternative-fuel vehicles (LNG, certified biodiesel)
- Preventive maintenance to reduce emissions and fuel consumption
- Train drivers in eco-driving practices

10.4 Supplier Performance Measurement

10.4.1 Supplier KPIs

Suppliers' performances are measured by two main KPIs:

- S-OTD – Supplier On Time to Deliver: it measures the number of lines delivered on time (in full) against the Wabtec requested delivery date

$$\textbf{Supplier OTD \%} = \frac{\text{Total Receipts "On Time" to Need By date}}{\text{Total Receipts}} \times 100\%$$

- S-OTP1 – Supplier On Time to Promise: it measures the number of lines delivered on time (in full) against the promise date mutually agreed between the two parties

A Tolerance of -**10;+3** will be applied to the calculation of performance KPIs indicated above.
The specific targets will be defined and shared by Wabtec Sourcing per commodity. In general:

- S-OTD > 90%
- S-OTP1 > 95%

Performance KPIs will be shared by Sourcing monthly; if the performances fall down below the predefined target, Wabtec will require the Supplier to provide specific recovery plans and to perform ad hoc assessments at Supplier premise.

10.4.2 Supply Chain Assessments

Whenever the monthly performance indicators will drop down below the predefined targets, there shall be the need for Wabtec to perform some Assessments with 10 working days prior notice to the Supplier.

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The main objectives of Supplier Assessments are:

- Analyze Supplier's processes and routines
- Identify what are the root causes behind a poor Supplier performance
- Establish a continuous and robust collaboration with the Supplier to improve performance.

According to the Supplier delivery performance, two main types of Supply Chain Assessments might be performed:

- Light Supply Chain Assessment
- Capacity Audit

A **Light Supply Chain Assessment** is launched by WT Supply Chain/Operations representatives with the aim to assess Supplier's capability analyzing its processes, working routines, organization and security.
It targets to assess 5 main Supply Chain Pillars:

- Supply Chain Organization, Communication and Contractual Commitments – assessment of organizational structure, roles and responsibilities, communication routines and knowledge and application of the logistics T&C
- Demand and Order Management – evaluation of demand and order book management, order entry process, forecast integration, customer orders prioritization and PO acknowledgment
- Planning and Execution – assessment of workload and capacity management, bottlenecks identification, S&OP and MPS processes, production plan management, production KPIs, potential shortages detection
- Procurement and Inventory Management – evaluation of procurement processes and routines with Tier 2 suppliers and Inventory management (safety stock policy included)
- Supplier Performance – evaluation of the main KPIs and how the Supplier monitors external suppliers.

The **Capacity Audit** is performed by WT Supply Chain/Operations representatives or by the Supplier itself in case of auto-assessment, with the aim of:

- providing WT with a detailed view of Supplier's manufacturing capacity;
- analyzing the load for each step of manufacturing process (subcontract activities included), split in WT needs and non-Wabtec needs;
- identifying potential bottlenecks;
- securing capacity to fulfill WT current and future needs by setting up mitigation plans in case of any bottlenecks or roadblock identified;
- combining the workload vs capacity picture with the material availability from Tier 2 suppliers.

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In both type of assessments, if a risk is highlighted then a shared action plan is mandatory to set up. This will be monitored by both parties until the Supplier provides a stable performance.

Please refer to the following Instruction and Templates:

- TR-I-MAT-004 – Supply Chain Assessments
- TR-F-MAT-009 – Supplier Supply Chain Assessment Template
- TR-F-MAT-010 – Supplier Capacity Audit Template

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Checked by :	DEROUET, OLIVIER | DURAND, AURORE | POSTEL, ELISE | KOELTZ, FREDERIC | AGUIRREBEÑA, LEYRE
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