

# Terms and Conditions for Initial Sample Submission

## 1. Objective of the initial sample inspection

The SUPPLIER shall use initial samples to prove that they are in a position to maintain and check the specifications determined under series production conditions.

## 2. Prerequisites for the inspection of a initial sample

Initial sample inspections shall be executed only on parts and components which are produced using series production tools. This shall not exclude the possibility that any samples produced in small quantities may not or not completely be manufactured and tested by means of series production tools based on special agreements. This, however, shall not be a initial sample production and testing according to this regulation. The SUPPLIER may include results of tests effected on such samples in the initial sample test report, if such tests refer to properties which have been established using series tools.

## 3. Cause for initial sample tests

Initial sample tests are required in the following situations:

- New supplier
- New part
- Modified specifications
- New or modified tools
- New or modified manufacturing techniques
- New production site
- Prolonged production shutdown (> 1 year)
- New sub-supplier

Before a new part or a new component assembly is introduced, CLAAS requests the SUPPLIER to supply initial samples making a special initial sample order in writing.

CLAAS Purchasing shall be informed of any changes made on the part of the SUPPLIER to the situations given above. The extent of the subsequent re-sampling shall be agreed in the individual case with the CLAAS Department for Quality Management.

Should a re-sampling be required for reasons caused by the SUPPLIER, CLAAS reserves the right to invoice the respective costs to the SUPPLIER.

The main emphasis of initial sample manufacturing and testing is put on parts which have been developed and specified by CLAAS.

If a component to be subjected to a initial sample manufacturing and testing scheme consists of several individual parts specified by CLAAS, which could also form sub-components, all such individual parts, sub-components and the component itself shall be subjected to the initial sample manufacturing and testing procedure.

At this point CLAAS also reserves the right to request, in addition to the initial samples of assemblies, the individual parts specified by CLAAS within the course of the initial sample order.

If, however, only one or several individual parts have been modified, only these modifications must be subjected to the initial sample manufacturing and testing procedure. In such a case, reference to the initial sample manufacturing and testing procedure of the original component must be made in the initial sample test report.

For large component assemblies originating from the Supplier's development and the function, manufacturing and inspection capabilities which have already been proven during the development phase, the initial sample testing may be limited to the product condition on delivery, the surface treatment and the connection dimensions.

## 4. Object of the initial sample testing

A small number of samples must be taken from the first production lot at random and must be marked permanently, e.g. by consecutive numbering, so that the test results can be assigned individually. For determining the quantity of the initial samples, however, the following aspects may play a role:

- If several identical devices, casting or pressing moulds, forging dies or female moulds are used, one dimensionally checked sample of each shall be required.
- In case of parts produced from a multiple mould, at least one part per mould cavity must be tested.

## 5. Establishment of the initial sample test reports by SUPPLIER

Before delivery of the initial samples, the SUPPLIER must convince themselves that all features prescribed are in accordance with the requirement specified by CLAAS. This must be proven by the initial sample test reports. Features that cannot be examined by the SUPPLIER themselves must be proven by test products from testing authorities. The test reports must be attached to the initial samples.

In the case of a initial sample submission due to changes, the changed component and/or the changed module shall be additionally recorded in writing in the documentation for the initial sample.

## 6. Handling of the initial sample testing

The SUPPLIER expressly undertakes to effect the initial sample testing within the scope of acceptance of an order.

The following requirements must be ensured:

- All markings on the sample for the purpose of effecting measurements (superficial fissures) must be maintained to allow counter-measurements on the same basis.
- If a measuring or gauging machine is used, the measuring test certificate must be attached to the test report.
- Cut samples of moulded parts, forged parts, welded, soldered and adhesive joints, heat-treated or galvanised parts must be submitted by the SUPPLIER if they serve to prove the correct state of the product or compliance with the specifications.

CLAAS reserves the right to accept assigned tools and the corresponding series production process on site.  
Should this be the case, the SUPPLIER shall be informed thereof at an early stage.

For time reasons and provided that the SUPPLIER have convinced themselves of the perfect quality of the first series lot, the SUPPLIER may supply the initial samples and the corresponding series lot simultaneously to CLAAS, but they must be clearly identified.

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Initial sample test reports showing non-compliance of specific features or properties with the specifications are not welcome and will not be accepted by CLAAS. If the SUPPLIER nevertheless wishes to deliver the corresponding lot to CLAAS, they must report the deviations and obtain a written approval from CLAAS in advance.

If such a lot consists of parts manufactured specifically for CLAAS, one copy of the initial sample report must be kept in safe custody by the SUPPLIER during production of the corresponding parts.

## 7. Compliance with the submission deadlines agreed

Compliance with the submission deadlines agreed shall not be fulfilled if the parts still show unacceptable defects. For this reason, CLAAS expects a initial sample testing to be made of the parts on the time agreed, according to the drawings and/or conforming to the agreements.

If the submission deadline is not possible, the CLAAS purchasing department must be informed early to discuss further steps.

## 8. Evaluation and release of the initial samples for series production

The initial sample test reports shall be checked by CLAAS concerning dimensions, materials of construction and/ or the proper function. If the results comply with the requirements, a release for series production will be made. The release by CLAAS is always made in writing.

If, however, any faults or defects have occurred in the QM system or in other processes affecting the quality of the product, the measures agreed with the CLAAS representative in charge must be executed and/or acknowledged before releasing the series production.

In this case and also in case of non-compliance with the agreed submission dates, CLAAS shall not be committed to accept submission of any additional samples or introducing any additional quality assurance measures with the SUPPLIER. CLAAS shall rather be in a position to refuse the further product sample design without incurring any obligations whatsoever and to terminate any Supply Agreement which might have been concluded already.

If any initial samples are rejected, the SUPPLIER must immediately advise a new date of completion for corrected initial samples upon demand from CLAAS' purchasing department. Any deviations from the required specifications which have not been detected during the initial sample inspection may also be objected to later.

## 9. Shipment of the initial samples

CLAAS requires marked initial samples packed together with initial sample report, but separate from other deliveries (according to specifications in the table „Initial Sample Content Specification“).

Delivery must be labelled with "INITIAL SAMPLE". The number of initial samples has to be stated on delivery note.  
Initial samples must always be delivered before first serial delivery.

Missing or incomplete initial sample documentation leads to a negative supplier evaluation.

In case of incomplete or missing documentation for initial samples and when those documents are not delivered in due time, CLAAS reserves the right to return the initial samples.

## 10. Costs of the initial samples

Unless otherwise agreed by contract, the costs of initial samples of perfect quality and complying with the required specifications shall be borne by the CLAAS Company.

The costs for rightfully objected to and/or unsuitable initial samples shall be borne by the SUPPLIER.

## 11. Other samples (prototype parts)

Concerned here are products and materials that have not been produced under conditions for series production.

Other samples are requested from the SUPPLIER, in the same way as initial samples, with the order stating the delivery date.

For prototype parts, a prototype testing report shall be included in each delivery. For this purpose, the form for the initial sample, as per VDA Vol. 2, shall be used.

Other samples failing to fulfil the conditions for the initial sample shall be clearly marked as such in the reporting system.

The decision made by CLAAS to use Other Samples shall not concomitantly mean the release for series production and shall not substantiate any abandonment of developing a initial sample.

## 12. Series delivery

Before shipment of the first series delivery, written approval of the parts by CLAAS must have been submitted and the requirements stipulated in the initial sample test report must be fulfilled.

Furthermore, the measures determined by CLAAS for elimination of the weak points of the system must have been realised.