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Justification for change:	This is being done because the APAC Gateway requirements were not included in original version. Need to update to include the requirements for suppliers who ship directly to APAC gateway.

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# GSC-QAP-0001: SUPPLIER SHIPPING REQUIREMENTS

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# *GSC-QAP-0001*

## GSC-QAP-0001-01: Supplier Shipping Requirements

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### 0. Document Change History

Version	Effective Date (mmm/yyyy)	Notes
01	See DiaDoc Metadata	Initial Issue
02	See DiaDoc Metadata	Appendix update for APAC requirements

### 1. Purpose and Scope

#### 1.1 Purpose

Establish supplier shipping requirements in order to achieve product deliveries that are free of damage, have compliant product identification and labeling, and are packaged for efficient handling within the Roche Diagnostics Global Supply Chain system.

#### 1.2 Scope

All product shipments to the Roche Global Distribution Center warehouses shown in Appendix 1 of this document.

### 2. Responsibilities

#### Roche Responsibilities:

The Roche Global Supply Chain Quality Department is responsible for maintaining the contents of this document. A current version of this document is available via either:

<https://diagnostics.roche.com/us/en/about-us/business-partners/supplier-portal.html>

<https://www.roche.de/diagnostics/data/lieferanteninformation.htm>

A copy of the Supplier Shipping Requirements can also be requested by contacting a Roche Procurement representative.

#### Supplier Responsibilities:

The Supplier is responsible to comply with the requirements of this document as applicable. Failure to comply with this Standard will result in return of goods (with the Supplier paying for freight) or assessment of fees associated with re-labeling, rework, overtime, and other charges incurred due to improperly packaged and / or damaged goods.

### 3. General Shipping Requirements

#### 3.1 General Requirements

It is the responsibility of the Supplier to:

- Pack and palletize product for safe storage and shipment. Quality of packaging material and packaging design must be adapted to the anticipated means of shipping, storage, transportation and environmental influences including sufficient protection against damage and soiling.
- **Pallet loads shall not overlap the pallet footprint.**
- Each shipping unit (pallets, cartons/boxes, containers) shall be uniquely labeled. Old labels, tags and markings shall be removed or fully covered.



- Position all handling labels and markings so that they are clearly visible and positioned on the package or sides of the pallet used for forklift entry.
- Brace loads adequately to minimize shifting in transit.
- Ship and monitor temperature sensitive products according to stability requirements or Roche specification.
- Tamper seal exclusive-use trucks as appropriate.
- Comply with applicable laws and regulations regarding product handling, shipping, packaging, and preservation of product including but not limited to ISO 13485.
- Comply with all Customs Trade Partnership Against Terrorism (CTPAT) and Known Consignor regulations as appropriate.
- Ensure all packaging/pallet components comply with current version of [The International Standard for Phytosanitary Measures](#), publication number 15 (ISPM 15) latest edition.

### 3.2 Documentation Required for Receiving

It is the responsibility of the Supplier to provide the following documentation with each shipment:

#### **Packing List/Delivery Note**

- Supplier Name, Address, Contact Information
- Roche PO Number
- Roche Receiver, incl. building number
- Roche part # and Description
- Lot/Batch Number or Serial Number as applicable
- Expiration Date by Lot/Batch Number
- Date of Manufacture by Lot/Batch Number
- Product Quantity shipped by Part Number and Lot/Batch
- Temperature storage condition by Part #
- Number of shipping units (pallets and / or cartons) by Part Number and Lot/Batch
- Total load weight

For those products ordered through the RDI Drop Shipment process, the above Packing List requirements are superseded by those defined in the Global Sourcing OEM Work Instructions or Technical Delivery Terms and Conditions (TDC) provided to the supplier.

### 3.3 Digital Documentation Required for Receiving

Roche can / may require the supplier to provide digital shipping notifications with or without handling unit data prior to the physical arrival of goods by use of Electronic Data Interchange standards commercially available (Advanced Shipping Notification).

#### 4. Packaging Principles

The supplier shall be responsible for selecting a satisfactory quality of packaging material and an adequate packaging design adapted to the anticipated means of shipping, handling, storage, and transportation as well as environmental influences.

Roche will only accept changes in packaging specifications, packaging sizes, packaging content with prior written approval from Roche Supply Chain Packaging.

The following principles must be adhered to:

- Refer to Appendix 1 for ship-to site-specific dimensional and weight requirements.
- Refer to Appendix 2 for packaging requirements.
- Avoidance of excessive packaging. The packaging must not be larger or more elaborate than essential to protect the goods.
- Padding material must be kept to a minimum.
- Where disposable and returnable packaging is used, recyclable, ideally biodegradable, packaging materials must be used and identified according to the specifications of the waste management industry.
- Use of single-type component materials to enable recycling. Composite materials are not allowed.
- Where disposable and returnable packaging is equal in economic and qualitative terms, returnable packaging shall be preferred.
- All containers, trays, and lids must have a manufacturer's certificate with bursting, puncture or Edge Crush Test (ECT) limits.
- All cartons must be secured to a pallet.
- The preferred method of securing material(s) to pallets is plastic, heat-sealed strapping of polyester. PVC films are NOT acceptable. Labels used on stretch films are encouraged to be of the same material as the film for ease of recycling. Refer to Appendix 1.
- All shipments, regardless of origin or destination, with packaging components made of non-manufactured wood packaging (NMWP, e.g., skids, pallets, crates, dunnage) must meet the minimum requirements of the globally harmonized International Plant Protection Convention (IPPC), International Standard for Phytosanitary Measures (ISPM) 15.

### 5. Pallet Guidelines

#### 5.1 Pallet Types

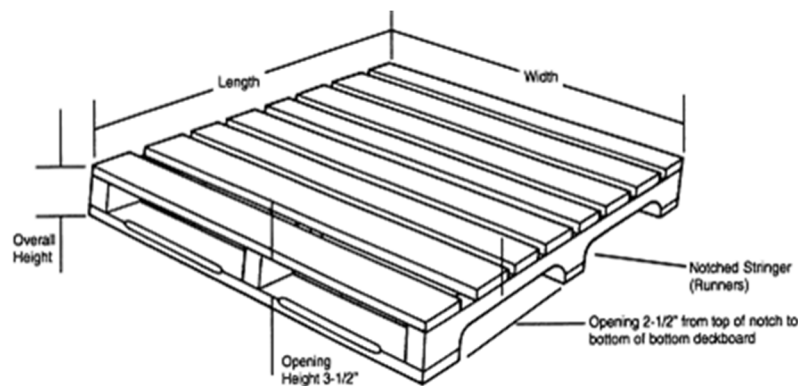
Roche Standard US pallets or Roche Standard Euro pallets shall be used unless agreed upon in writing by the RD Global Supply Chain Department. **Refer to Appendix 1 for type of pallet to be used based upon ship-to location.**

#### 5.2 Roche Standard US Pallet

All wooden pallets must be Grade A1 double face, non-reversible wood construction and be of notched stringer design (Diagram 1).

Please see the following link for detailed construction specifications:

<http://nazpallet.com/grades-of-gma-pallets-a-detailed-overview/>



**Diagram 1 - RD standard US pallet - 48 in/122 cm (L) x 40 in /102cm (W)**



### 5.3 Roche Standard Euro Pallet

All wooden pallets must be double-face, non-reversible wood construction, be of Block design (Diagram 2), according to IPPC and EPAL Euro-Pallet Standard.

New or mint condition.

Treatment with methyl bromide is not permitted (EU regulation).

Please see the following link for detailed construction specifications:

[https://www.epal-pallets.org/fileadmin/user\\_upload/ntg\\_package/images/mediathek/DU\\_GB\\_EPAL\\_1\\_Prодукtdatenblatt\\_low.pdf](https://www.epal-pallets.org/fileadmin/user_upload/ntg_package/images/mediathek/DU_GB_EPAL_1_Prодукtdatenblatt_low.pdf)

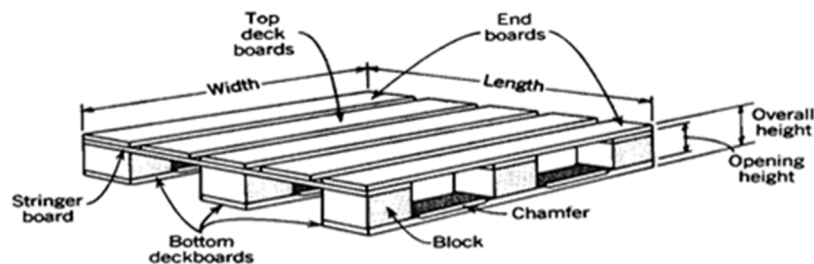


Diagram 2 - Roche standard Euro pallet 120cm/47 ¼ in (L) X 80cm/31 ½ in (W)

### 5.4 Other Pallets

Plastic pallets are permitted only with prior approval from Roche Supply Chain Packaging and must meet the following criteria:

- They must meet the dimensions for Standard US pallet 48 in/122 cm (L) x 40 in /102cm (W), or Euro pallets 120cm/47 ¼ in (L) X 80cm/31 ½ in (W).
- They must be sturdy enough for basic transportation requirements.
- They must be sturdy for material movements after delivery.
- Metal or chipboard pallets are not permitted under any circumstances



### 6. Labeling

#### 6.1 Carton Labeling

Material(s) in a carton/box, unless otherwise stated in the Material Specification, must be labeled as follows:

- Label(s) shall be a minimum of 4 in x 6 in (10.2 cm x 15.2 cm) and applied to one side of package. If carton is too small to support this label size, make appropriate to the size of the carton.
- Labels must be white in color with bold black printing.
- Ensure carton labels are visible (outward facing) when load is palletized.
- For Products manufactured by Roche and shipped to another Roche site, standard SAP carton labels may be utilized.

#### Carton Label Required Information and Character Sizes

<b>Supplier Name:</b>	<b>*P.O. Number:</b>
<b>*Roche Part Number: Minimum 36 point font</b>	<b>*Quantity: Minimum 36 point font</b>
<b>*Batch Number: Minimum 36 point font</b>	<b>*Expiration Date (where applicable): Minimum 36 point font</b>
<b>Description:</b>	<b>Storage Temperature Condition (In Celsius unless instructed by the material specification): Minimum 36 point font</b>

\*Note : All information except for Supplier Name, Description and Temperature Condition must be both human readable and bar-coded (2D Datamatrix format). Barcode minimum Height is 1/2" (1.3 cm).



The following illustration is an example of a carton label.

Supplier Name:  <b>Company Name</b>		
Description:  <b>Cleaning Solution</b>		
PN:  <b>12345678901</b>	PO:  <b>12345678901</b>	
Batch No.: (10 digit max)  <b>1234567890</b>	Quantity:  <b>123456</b>	
Expiration Date:  <b>MM/DD/YYYY</b>		
<b>Temperature Storage Condition</b>	<b>Refrigerated</b>	<b>2C-8C</b>

Note: For purposes of this document, text is not shown in full size.



### 6.2 Pallet Labeling

Material(s) on a pallet/shipping container must be labeled as follows:

- Labels shall be a minimum of 4" x 6" (10.2 cm x 15.2 cm).
- Labels shall be white in color with bold black printing.
- Pallet load labels must be applied to front and back side of the load.
- Labels must not protrude over the edge of the pallet or damage the sales packaging upon removal of labels.
- **All temperature sensitive material must be clearly identified.**
- For Products manufactured by Roche and shipped to another Roche site, standard SAP pallet labels may be utilized.

**Pallet Label Required Information and Minimum Character Sizes**

<b>Supplier Name:</b>	<b>Roche Address:</b>
<b>*Roche Part Number: Minimum 36 point font</b>	<b>*P.O. Number:</b>
<b>*Batch Number: (Minimum 1/2") 36 point font</b>	<b>*Quantity: Minimum 36 point font</b>
<b>Description: (Minimum 1/2") 36 point font</b>	<b>*Expiration Date (where applicable): Minimum 36 point font</b>
	<b>Storage Temperature Condition (In Celsius unless instructed by the material specification): Minimum 36 point font</b>

\*Note : All information except for Supplier Name, Description, Roche Address, and Temperature Condition must be both human readable and bar-coded (2D Datamatrix format). Barcode minimum Height is 1/2" (1.3 cm).

The following illustration is an example of a pallet label:

From: Company Name Company Address City, State, Country 12345-1234	To: Roche Diagnostics 9115 Hague Rd Indianapolis IN 46250
<b>Pallet Load Label</b>	
Description: <b>ISE Cleaning Solution</b>	
MN: 12345678901 	PO: 1234567890 
Batch No. 1234567890  (10 digit maximum)	Quantity: 123456 
Expiration Date: MM/DD/YYYY 	
<b>Temperature Storage Condition</b>	<b>Refrigerated 2C-8C</b>

### 6.2.1 Pallet Labels for Temperature Sensitive Product

- All temperature sensitive materials must be clearly identified on all four sides of the pallet with a minimum 4"x 4" in size, separate label, stating the required temperature condition of the material. (e.g., +2C to +8C).

### 6.2.2 Pallet Labels for "Mixed Pallet" Load

- Only one lot per pallet is permitted for all products that are not packed in carton boxes. Pallets of mixed lots are not allowed.
- "Mixed Pallet" labels are to be added to pallets containing carton boxes of multiple lots or materials shipped on a single pallet. Each carton is to be labeled to its contents as described in section 6 and noticeably segregated on pallet for efficient handling.
- Labels shall be a minimum of 4" x 6" (10.2 cm x 15.2 cm).
- Labels shall be yellow in color with bold black printing.
- Adhesive can be pressure sensitive or dry gummed as long as adherence to the package substrate is assured and application is wrinkle free.
- Pallet load labels must be applied to the front and the back side of the pallet.

### 7. Temperature Sensitive Product Shipments

#### 7.1 Product Requirements

Product must be stored according to specified storage requirements. Typical Storage conditions are:

Controlled Room Temperature (CRT)	+15°C to +25°C
Refrigerated (RF)	+2°C to +8°C
Frozen (FZ)	-15 to -25°C

Temperature sensitive products must be shipped according to shipping temperature requirements via temperature controlled transport or qualified packaging. Supplier is required to assign an approved shipping category to each product per the Table 1 below. The shipping category indicates the allowable exposure time outside of labelled storage condition in the event of a temperature excursion during shipment. Supplier will maintain documented stress stability data to support stress outside of labelled storage conditions, and provide such data to Roche upon request.

**Table 1 - Minimum and Maximum Temperature for Shipping Categories**

Product shipping condition	Shipping Category	Temperature stress for	
		handling	shipping
Refrigerated (Wide Range)	A	> 0 °C and ≤ +30 °C	
	I	> 0 °C and ≤ +35 °C	
	F	> -20 °C and ≤ +35 °C	
	J	> -20 °C and ≤ +30 °C	
Refrigerated (Restricted Range)	B	> 0 °C and ≤ +25 °C	> 0 °C and ≤ +15 °C
	H	> -20 °C and ≤ +25 °C	> -20 °C and ≤ +15 °C
Dry Ice	C	Time outside storage must be kept to a minimum	<-15 °C <u>&amp;</u> with dry ice <sup>(2)</sup>
Controlled Room Temperature	D	> 0 °C and ≤ +45 °C	
	G	> -20 °C and ≤ +45 °C	
Ambient	E	ambient	

The minimum stress time which must support these minimum / maximum temperatures without having an adverse impact on product quality is 150 hours.

Shipments to the Global Distribution Centers listed in Appendix 1 must be 100% temperature monitored with the exception of Shipping Category C and E. Roche Diagnostics Global Distribution Quality can / will assist in detailed temperature monitoring process / requirements.

### 7.2 Methods of Control

#### 7.2.1 Supplier Qualified Packaging

Cold Chain Packaging must contain the appropriate materials to meet product specifications during transit. The Supplier is responsible for maintaining packaging qualification records.

#### 7.2.2 Temperature Controlled Transport

A temperature monitoring device must be included for all temperature controlled shipments. This includes but is not limited to refrigerated trailers, sea freight containers, Envirotainers, etc.

The monitoring device must be placed at the tail of the trailer (dedicated truck). If more than one monitor is being used, one must be placed at the front and the other at the tail. In all cases, the device must be placed inside a shipping container next to product. Placing temperature monitoring devices on the outside of pallets or shipping containers **IS NOT** acceptable.

For temperature monitored shipments, the receiving documents (see section 3.2) must also include:

- Quantity of Temperature Devices
- Serial Number(s) of Temperature Device(s)
- Seal number (if dedicated truck)
- Date and Time door of trailer is closed (dedicated truck) or shipment is tendered to the carrier (all other modes).

#### When using temperature controlled trailers/sea freight containers:

- Ensure that the set point and actual temperature of the trailer meets requirement specifications before loading.
- Load freight in such a manner as to not restrict airflow. Ensure that trailer temperature has returned to the appropriate Set Point shown below before releasing the driver.

Controlled room temperature (CRT) shipments	+15C to +25C	Set Point: + 20C
Refrigerated (RF) shipments	+2C to +8C	Set Point: +5C
Frozen / dry ice (FZ) shipments	-15C to -25C	Set Point: -20C





### 7.2.3 Large Instruments protection - “Shock Watch / Tip n Tell”

Suppliers are responsible to take precautions against damages to instruments during transportation from the supplier to Roche.

- Use adequate transportation packaging (e.g. wooden crates)
- Apply tilt indicators on the outside of transportation packaging (e.g. “Shock Watch” sensors).

### 7.3 Temperature Monitoring

Suppliers are responsible for purchasing the approved temperature monitoring devices for Roche shipments. The approved device is the Sensitech Ultra 64K unless otherwise specified by Roche.

Contact Information for purchase : [ACCOUNT800@SENSITECH.COM](mailto:ACCOUNT800@SENSITECH.COM)

Phone 1-978-927-7033.

Training on use of the device is required and is available by contacting the Roche Global Distribution Quality Department at +49 621 7593188 or mail to:

[Indianapolis.Incoming\\_Inspection@Roche.com](mailto:Indianapolis.Incoming_Inspection@Roche.com). Any questions regarding temperature control requirements should also be directed to this team.

## 8. Hazardous Material

It is the responsibility of the Supplier to comply with the following when shipping hazardous material:

- Hazardous material packaging must comply with all applicable road, sea, and air regulatory requirements regardless of the mode used to transport material to a distribution center according to country specific or international laws, standards, and regulations.
- Packaging certification / recertification documentation for finished goods must be kept up to date and supplied to RD within 24 hours upon request.
- Hazardous materials packaged in plastic bottles must have 95 Kpa pressure test certificates and be available upon request.

## 9. Deviation Management

Non-conformities to supplier shipping requirements are subject to the overall supplier vendor performance measurement process. Suppliers are responsible to respond to complaints in timely manner and prove corrective actions are implemented.



## Appendix 1 – Site Specific Requirements - Germany

<b>Ship to Site &gt;&gt;</b>	<b>Roche Diagnostics GmbH</b> <b>Leo Sternbach Straße,</b> <b>68305 Mannheim</b> <b>Germany</b> <b>Building 398 &amp; 493</b>	<b>Roche Diagnostics GmbH</b> <b>Industriestrasse 26 67136</b> <b>Fußgönheim</b> <b>Mannheim Germany</b>
<b>Receiving Hours</b>	Mon - Fri 6:00 AM - 4:00 PM	Mon - Fri 7:00 AM - 3:00 PM
<b>Dock Appointment Required?</b>	Building 398 - Yes	No
<b>Dock Appointment Scheduling</b>	Schedule via SyncroSupply application. For access contact <b>mannheim.logistics-awp@roche.com</b>	NA
<b>Certificate of Compliance/Certificate of Analysis</b>	<p>Each shipment(s) must have a certificate, unless otherwise noted on the specification, that provides the following information:</p> <ul style="list-style-type: none"> <li>• Identification of the type of document (for example, CofC or CofA)</li> <li>• Vendor Name and/or Logo</li> <li>• Roche material number</li> <li>• Suitable means of traceability (i.e., batch number, serial number, manufacturing date, ship date)</li> <li>• Affirmation that the product meets the specifications of the materials referenced in the purchase order</li> <li>• Signature and date of appropriate company representative</li> </ul> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• A Certificate of Analysis must be used when the supplier tests the product on a lot by lot basis and the results are verified to be within a predetermined specification. The document may be titled other than Certificate of Analysis but must include analytical results.</li> <li>• A Certificate of Compliance must be used when the supplier confirms the Product complies with specified requirements established by the supplier.</li> <li>• All documents must be centrally located for easy access for each shipment.</li> <li>• Vendor part number may be used, if the material is not Roche specific (off the shelf with no Roche specific labeling or modifications requested in the specification)</li> </ul> <p><b><u>Packing list must be located together on the top of a container or pallets for easy access.</u></b></p> <p>Electronic copies of CofC or CofA, must be emailed to or posted at: <a href="mailto:mannheim.receiving-oem-certificates@roche.com">mannheim.receiving-oem-certificates@roche.com</a></p> <p>Please name the file by: vendor_material number_batch number Please name subject matter: vendor_document type</p>	

# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



<b>Pallet Type/Size</b>	Standard Euro Pallet - new Re-used pallets in mint condition according to " <a href="#">EPAL</a> " standards only upon approval by mannheim.receiving_398-3@roche.com	<ul style="list-style-type: none"><li>• Standard US Pallet</li><li>• Standard Euro Pallet</li></ul> Non-Standard possible, please consult with mannheim.dci@roche.com
<b>Max Pallet Load Size</b> (*Max Load height to include pallet plus load height)	<ul style="list-style-type: none"><li>● 1.35 meter max. (H*) x 1.2 meter (L) x 0.8 meter (W).</li><li>● Minimum of 1 cm required between edge of pallets and goods.</li></ul>	NA
<b>Max Pallet/Carton Weight</b>	600 kg (pallets), 20kg (tray/carton)	NA
<b>Method to Secure Load to Pallet</b>	<ul style="list-style-type: none"><li>● <b>Bands/Belts Required</b></li><li>● Two bands preferred. Refer to Appendix 2 for example.</li><li>● Shrink wrap for protection from dirt or leakage is permissible. <b>Shrink wrap must not wrap around pallet.</b></li></ul>	NA
<b>Mixed handling units</b>	Packing more than one material or more than one batch per pallet / carton is not accepted. For questions, contact: Bldg 398: mannheim.receiving_398-3@roche.com	NA
<b>Languages</b>	Drivers need to have basic command of either German or English to be accepted.	Drivers need to have basic command of either German or English to be accepted.
<b>Contact for Questions</b>	Phone 0049 621 7592982	Phone: 0049 173 3485583



### Appendix 1-Site Specific Requirements US

<b>Ship to Site &gt;&gt;</b>	<b>Roche Diagnostics Operations, 9115 Hague Rd. Indianapolis, Indiana 46256</b>
<b>Receiving Hours</b>	Mon-Fri 6:00 am - 2:00 pm
<b>Dock Appointment Required?</b>	Yes, for shipments with more than 5 pallets.
<b>Dock Appointment Scheduling</b>	Call 1-317-521-7522 or Call 1-317-521-2664 or Email all required information to: <a href="mailto:indianapolis.rdo_deliveryappointment@roche.com">indianapolis.rdo_deliveryappointment@roche.com</a>
<b>Certificate of Compliance/Certificate of Analysis</b>	<p>Each shipment(s) must have a certificate, unless otherwise noted on the specification, that provides the following information:</p> <ul style="list-style-type: none"><li>• Identification of the type of document (for example, CofC or CofA)</li><li>• Vendor Name and/or Logo</li><li>• Roche material number</li><li>• Suitable means of traceability (i.e., batch number, serial number, manufacturing date, ship date)</li><li>• Affirmation that the product meets the specifications of the materials referenced in the purchase order</li><li>• Signature and date of appropriate company representative</li></ul> <p><b>Notes:</b></p> <ul style="list-style-type: none"><li>• A Certificate of Analysis must be used when the supplier tests the product on a lot by lot basis and the results are verified to be within a predetermined specification. The document may be titled other than Certificate of Analysis but must include analytical results.</li><li>• A Certificate of Compliance must be used when the supplier confirms the Product complies with specified requirements established by the supplier.</li><li>• All documents must be centrally located for easy access for each shipment.</li><li>• Vendor part number may be used, if the material is not Roche specific (off the shelf with no Roche specific labeling or modifications requested in the specification)</li></ul> <p><b><u>Packing list must be located together on the top of a container or pallets for easy access.</u></b></p> <p>Electronic copies of CofC or CofA, and sample labeling<sup>1</sup> as required must be emailed to or posted at: <a href="mailto:Indianapolis.Incoming_Inspection@Roche.com">Indianapolis.Incoming_Inspection@Roche.com</a></p> <ul style="list-style-type: none"><li>• Please name the file by: vendor_material number_batch number.</li></ul> <p><sup>1</sup>Labeling includes but not limited to inserts, violators, labels applied to primary packaging)</p>
<b>Pallet Type/Size</b>	<ul style="list-style-type: none"><li>• Roche Standard US Pallet</li></ul>

# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



	<ul style="list-style-type: none"><li>• Roche Standard Euro Pallet</li></ul>
<b>Max Pallet Load Size</b> (*Max Load height to include pallet plus load height)	They must meet these dimensions: <ul style="list-style-type: none"><li>• Standard US pallet: 48 inch (L) x 40 inch (W)</li><li>• Euro pallet: 48 inch (L) X 32 inch (W)</li><li>• Product cannot overhang the edges of the pallet</li><li>• Maximum pallet load height* =48" unless approved in advance</li></ul>
<b>Max Pallet/Carton Weight</b>	<ul style="list-style-type: none"><li>• 2500 lb. pallet</li><li>• 50 lb Tray/Carton</li></ul>
<b>Method to Secure Load to Pallet</b>	<ul style="list-style-type: none"><li>• Two bands preferred. Refer to Appendix 2 for example.</li><li>• Shrink wrap for protection from dirt or leakage is permissible.</li></ul>
<b>Mixed handling units</b>	Packing more than one material or more than one batch per pallet is not accepted.
<b>Languages</b>	Drivers need to have basic command of English to be accepted
<b>Contact for Questions</b>	Phone 1-317-521-7522



### Appendix 1 – Site Specific Requirements – APAC Hub

<b>Ship to Site &gt;&gt;</b>	<b>APAC Hub</b> <b>Non-DG warehouse address:</b> Warehouse C2-4, 166 Shen Fei Road, WGQ PFTZ (Logistics Park) , Shanghai China <b>DG warehouse address:</b> 253 Shen Ya Road, WGQ PFTZ (Logistics Park) , Shanghai China
<b>Receiving Hours</b>	Mon - Fri 8:00 AM - 8:00 PM
<b>Dock Appointment Required?</b>	No
<b>Dock Appointment Scheduling</b>	NA
<b>Certificate of Compliance/Certificate of Analysis</b>	<p>Each shipment(s) must have a certificate, unless otherwise noted on the specification, that provides the following information:</p> <ul style="list-style-type: none"><li>• Identification of the type of document (for example, CofC or CofA)</li><li>• Vendor Name and/or Logo</li><li>• Roche material number</li><li>• Suitable means of traceability (i.e., batch number, serial number, manufacturing date, ship date)</li><li>• Affirmation that the product meets the specifications of the materials referenced in the purchase order</li><li>• Signature and date of appropriate company representative</li><li>• CofC or CofA can be shipped physically with cargo</li></ul> <p><b>Notes:</b></p> <ul style="list-style-type: none"><li>• A Certificate of Analysis must be used when the supplier tests the product on a lot by lot basis and the results are verified to be within a predetermined specification. The document may be titled other than Certificate of Analysis but must include analytical results.</li><li>• A Certificate of Compliance must be used when the supplier confirms the Product complies with specified requirements established by the supplier.</li><li>• All documents must be centrally located for easy access for each shipment.</li><li>• Vendor part number may be used, if the material is not Roche specific (off the shelf with no Roche specific labeling or modifications requested in the specification)</li></ul> <p><b><u>Packing list must be located together on the top of a container or pallets for easy access.</u></b></p> <p>Electronic copies of CofC or CofA, must be emailed to or posted at: <b>gscapac.order_management@roche.com</b></p> <p>Please name the file by: vendor_material number_batch number Please name subject matter: vendor_document type</p>

# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



<b>Pallet Type/Size</b>	Standard Euro Pallet - new Re-used pallets in mint condition according to "EPAL" standards
<b>Max Pallet Load Size</b> (*Max Load height to include pallet plus load height)	<ul style="list-style-type: none"><li>● 1.35 meter max. (H*) x 1.2 meter (L) x 0.8 meter (W).</li><li>● Minimum of 1 cm required between edge of pallets and goods.</li></ul> NA
<b>Max Pallet/Carton Weight</b>	600 kg (pallets), 20kg (tray/carton) NA
<b>Method to Secure Load to Pallet</b>	<ul style="list-style-type: none"><li>● <b>Bands/Belts Required</b></li><li>● Two bands preferred. Refer to Appendix 2 for example.</li><li>● Shrink wrap for protection from dirt or leakage is permissible. <b>Shrink wrap must not wrap around pallet.</b></li></ul>
<b>Mixed handling units</b>	Packing more than one material or more than one batch per pallet / carton is not accepted.
<b>Languages</b>	Drivers need to have basic command of either Chinese or English to be accepted.
<b>Contact for Questions</b>	Phone +86 512 69998242

## Appendix 2 – Packaging

**Table 1 - Methods/Practices that ARE Acceptable for inner packaging, carton sealing, or palletization**

<p><b>Anti-skid Paper</b></p> 	<ul style="list-style-type: none"> <li>• Used to stabilize stacked trays</li> <li>• When goods are stacked loose without tray and have a flat surface</li> <li>• Always under the bottom layer. If the products are higher than the tray: Between each layer.</li> </ul>
<p><b>Cover Tray</b></p> 	<ul style="list-style-type: none"> <li>• Used in combination with tray-frames</li> <li>• Protection of articles for sale (thin, lightweight package), which are higher than a tray</li> <li>• Protection against falling off of goods with tray-frame</li> </ul>



# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



**Edge Protector**



- Used together with belts
- Cardboard protectors are required

**Pallet Box (close bottom)**



- Used with loose, small, lightweight goods
- Used when pallet-frame would be too unstable

**Pallet Cover**




- Used in combination with pallet-frame and pallet-box
- Allows to stack goods
- Raises the stability
- Protection during the transport from dirt, dust, rain, etc.

# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



<p><b>Pallet Frame</b></p> 	<ul style="list-style-type: none"><li>• Loose, lightweight goods (no tray)</li><li>• Lightweight goods packed in trays</li><li>• Allows to stack the pallets</li></ul>
<p><b>Standard Corrugated Tray</b></p> 	<ul style="list-style-type: none"><li>• See Figure 1 for standard tray design</li><li>• All products smaller than 10" x 10" x 6" must be supplied in corrugated trays unless otherwise authorized by Roche Global Supply Chain.</li><li>• Depending upon the product configuration, weight, etc., the trays may be stacked directly onto a pallet or placed inside an over pack box.</li><li>• Packaging of the products must be adapted to the size of trays.</li><li>• Packaging of finished products<ul style="list-style-type: none"><li>○ One batch per tray, no mixed trays</li><li>○ 4 trays per layer on IPPC-pallets</li><li>○ Maximum height per tray: 28cm</li><li>○ Maximum weight per tray: 20kg</li><li>○ Consolidate: All trays with same batch on same pallet(s)</li></ul></li></ul>

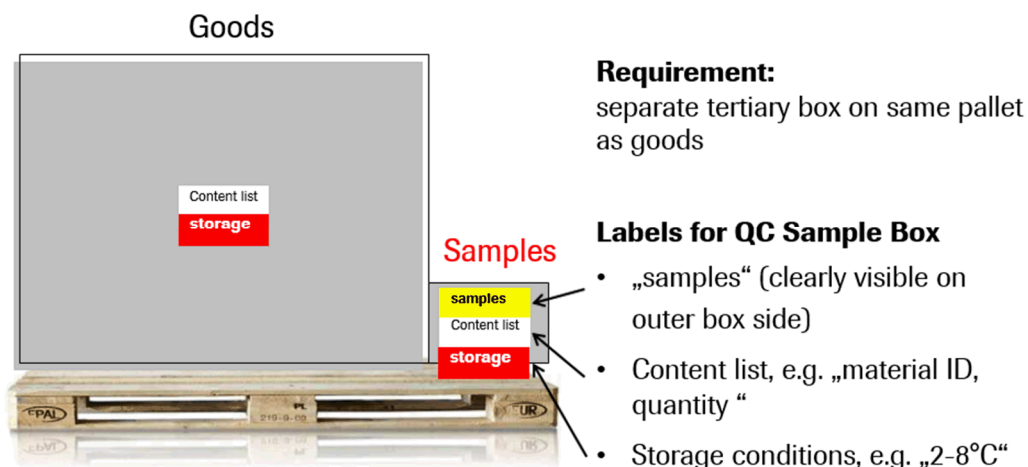
# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



<p><b>Corrugated Tray Frame</b> (15cm or 30 cm high)</p>  A photograph of a brown corrugated tray frame. A red arrow points to the side of the frame, indicating its height.	<ul style="list-style-type: none"><li>• Product height &gt; Tray height: stacking on the surface of the products not possible</li><li>• Changes the function of the tray to a box</li></ul>
<p><b>Shrink wrap/winding foil/PVC stretch wrap</b></p>	<ul style="list-style-type: none"><li>• Refer to Appendix 1 for acceptable use</li></ul>
<p><b>Belts/Bands</b></p>  A photograph of a stack of brown cardboard boxes on a wooden pallet. The stack is secured with two yellow straps (belts/bands) running vertically across the front of the stack.	<ul style="list-style-type: none"><li>• Refer to Appendix 1 for acceptable use</li></ul>

### Samples-Packaging Requirements when additional samples are required for QC testing



### The following practices and methods which are NOT permitted:

- Plastic edge protectors
- Styrofoam packing “peanuts”
- Vermiculite absorbent
- Metal, plastic, paper, or cardboard pallets
- Rice Paper or yellow corrugated
- Metal banding and shrink films (i.e., Heat Films) are only acceptable when prior approval is obtained.

# GSC-QAP-0001

## GSC-QAP-0001-01: Supplier Shipping Requirements



Figure 1 – Roche Standard Corrugated Tray

