Approved by
Deputy General Director
for Quality

_____ S.V. Strelnikov
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SPECIFIC REQUIREMENTS FOR SUPPLIERS AO SOATE

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Content

1. Field of application for specific requirements of AO SOATE to standard IATF 6949:2016

The present Specific requirements for suppliers of AO SOATE (hereinafter the Requirements) establish requirements for the Suppliers of materials and completing parts (hereinafter MiKI) used for production of Customer' products for vehicle components customers.

Requirements were developed in compliance with IATF 16949:2016 and specific requirements of AO SOATE and specific requirements of vehicle components Customers.

2. References. There are no Customer specific requirements for this item.

3. Terms and definitions

3.1 Additional terms and definitions

Special processes —processes under AIAG Special Process Assessments requirements (thermo processingт, galvanic, coating, welding, soldering, casting).

Supplier – supplier of materials and completing parts, used for production of Customer's products for vehicle components Customers.

Customer – AO SOATE.

Customers of vehicle components– factories where AO SOATE supplies vehicle components.

Products quality – features of programmed products (attributes) according to which their quality is estimated or described.

3.2 Abbreviations

AO – AO SOATE

MiKI – materials and completing parts

OZiL – purchasing and logistics department

4. Organization context

4.3.2 Specific Customer requirements

In case of AO SOATE Customer's specific requirements, AO passes them to its suppliers through including them into the contract or any other equivalent document. The present requirements are an integral part of Supply Contract for material and completing parts. The field of QMS application shall include all present requirements excluding not used requirements. Documented information shall show in which QMS process is the specific AO requirement used.

The Supplier shall provide self audit in accordance with Check-list presented by the Customer (Annex 1) on request of the Supplier.

For all existing AO Suppliers achievement of category A –excellent Supplier and not less than 75% conformation with the Check-list is the strategic development goal. In case conformity to Check-list is from 60% to 75% the business relations are possible with presenting of correction actions, in case conformation with the Check-list is less than 60% business relations are not possible except supplier is a monopolist with developing and realization of corrective actions.

4.4 Quality management system and its processes
4.4.1

Supplier of material and completing parts for automobile industry shall develop, put into operation and improve quality management system with the final aim to attend certification according to IATF 16949 by the organization licensed for IATF certification.

Minimum acceptable level of quality management system development is the certification according to ISO 9001:2015 by certification organization, having accreditation accepted as IAF MLA member and prepared plan for QMS development with approval of auto components customers.

4.4.1.1 Product and process compliance

Confirmation of the conformity shall be provided as a certificate, test reports etc. on any request of AO.

4.4.1.2 Product safety

In case the Customer demands using of International Material Database System (IMDS - www.mdsystem.com), Suppliers shall use this system to give the information about materials and components provided by AO.

In case AO determines norms influencing the safety the Supplier shall provide documents for approval to AO and get AO approval.

5. Leadership

The Supplier shall :
- support the right for uniting and real acceptance of right for conclusion of collective agreements:
- advocate for liquidation of all forms of forced and obligatory level;
- advocate for total liquidation of children labor;
- advocate for liquidation of discrimination in the sphere of labor and employment;
- support and respect the approach for protection of international human rights;
- support the approach for ecological issues based on the principle of precautionary and comply with the requirements of ISO 14001;
- comply with the requirements of ISO 45001;
- do not provide activities which may be qualified as giving or receiving the bribe, mediation the bribery, accepting of illegal remuneration, commercial bribery, and actions breaking legislation norms and international acts countering legalization of incomes, obtained by criminal means.

5.1.2 Orientation for Customer

There shall be provided documented information for risk analyses influencing the aims of AO satisfaction.

6. Planning

6.1.2.3 Action plans for emergency situations

Supplier's organization shall determine action plan in emergency situations in accordance with risks and influence for the Customer. Exactly in case of any following rejections: stoppage of key machines; breakage of supply of outsourcing products, processes, services; repeating natural disaster, problem with public utilities, lack of labor, break in normal work of infrastructure and cyber attacks for information

technologies, pandemic, there shall be provided a plan for ensuring business continuity. Action plans for emergency situations shall include stuff training.

Supplier's organization shall inform AO SOATE about machine stoppage and about the problem that has arisen within 24 hours and accept actions for providing products supply AO SOATE.

All necessary actions for verification and validation shall be provided after stoppage.

6.2 Targets in the field of quality and panning of their achievement

Targets in the field of quality of the products intended for AO SOATE shall be set up separately and include the following:

- target value of ppm, equal to 0, threshold value, set monthly in contract documentation;
- category not less than B for taking part in new projects;
- achievement of A category on the results of annual estimation.

7. Support

7.1.5.1.1 Measuring system analyses

Measuring system analyses (MSA) is provided in accordance to the Reference guide MSA AIAG (latest issue).

Before providing of MSA all measuring facilities, used in the measuring process, shall be checked (calibrated) and licensed in accordance with established procedure. Resolution of measuring facilities shall be equal, at least shall be one tenth, of expected variability of process/products characteristics (or tolerance of field width for measuring parameter).

Criterion of acceptability of measuring system is GRR and number of data categories (ndc):

GRR<10% (ndc > 5) – measuring system is acceptable;

10%<GRR<30% (ndc > 5) - measuring system shall be accepted in dependence on using importance and in agreement with the Customer.

GRR>30% (ndc<5) - measuring system shall not be accepted. Corrective actions are demanded.

MSA results shall be provided for investigation in range of PPAP.

7.1.5.3 Laboratory requirements

Vendor laboratory providing services for the Supplier shall be an accredited laboratory in accordance with ISO/IEC 17025 or national equivalent body accredited (signed) by ILAC MRA with the specification of the accreditation scope and should have the evidence of availability for the Customer.

For the internal laboratory the QMS must be determined and included into the documentation of its activity.

7.5 Documented information

The Supplier shall determine documented information for functioning of QMS which shall be identified and shall be under control.

For products with safety characteristics and compliance to legislation requirements record for serial products production approval, records for tooling, record for product and process developing and modifications shall be kept for all production period and within 20 years from the moment of the last shipment to the Customer.

8. Operating activities

8.3.2.1 Design and development planning – amendment

By developing new products and modification of the design (change of material composition receipt) the Supplier demands from the Suppliers use of APQP (for AutoVaz project use of ANPQP) with the use of expert engineering-technical methods according to the requirements of the following reference documents (up-to-date version):
"Failure Mode and Effects Analyses. FMEA". Reference manual. N.Novgorod: OOO Prioritet;
"Statistical Process Control. SPC" Reference manual. N.Novgorod: OOO Prioritet;
"Measuring System Analyses. MSA" Reference manual. N.Novgorod: OOO Prioritet.
"Product Part Approval Process. PPAP" Reference manual. N.Novgorod: OOO Prioritet.
"Advanced Product Quality Planning. APQP" Reference manual. N.Novgorod: OOO Prioritet.

By developing of the new product or making changes into the existing product the Supplier shall arrange the separate project with the appointed Project manager.

The list of contact data of the Project manager and the main team members is to be sent to the specialist of the Purchasing Department.

At the stage of the initial analysis (1st step of APQP) the Supplier must define the target indicators of the project and send to the address of AO "SOATE" (to Engineer of Purchasing Department) for approval. The specialists of the AO "SOATE" departments take a participation in the approval process. The approved target requirements shall be forwarded to the Supplier by the purchasing engineer for the realization.

Every project must be prepared as the detail schedule which is to be agreed to AO "SOATE".

The phases of APQP-project and the execution date for the project key phases must be agreed to AO "SOATE" and at least must include the following:

- Completion of the designing and approval of design (report document);
- Completion of set up for production (report document);
- Manufacturing and delivery of the test batch;
- Production approval (PPAP);
- Start of series delivery.
- Facilities rump up

As it is needed in a course of the project fulfillment the Supplier shall submit to the Buyer documents which shall be set up in the contract documents.

The results of APQP-project must be stored by the Supplier within the period of product issue + 1 calendar year if the other is not specified by the Customer.

As per the request of the Customer it must be provided the objective evidences of the fulfillment of the agreed project phases.

After the finishing of the project works the Supplier shall forward to the Customer the report about the achievement of agreed targets.

8.3.3.3 Special characteristics

In case the Customer demands special characteristics for the material and completing parts the Supplier shall fulfill the requirements for designations, documentation and managing of special characteristics:
- Designation of special characteristics in documents for product and production (drawing, operation process chart, working instructions, tags) shall correspondent to the Customer requirements;
- Use of POKA-YOKE (error control) to avoid defects in the final product;

- Use of statistically process control;
- Filling in actual parameters of special characteristics in the documents for each product batch;
- Staff training to the special characteristics;
- Identification of machines and tooling which are used to form special characteristics of materials and completing parts;

The Supplier shall determine special characteristics for product and process, expected range of which can influence the quality of supplied products.

If the Customer did not foreseen the other, the special characteristics shall be identified in the all design and technology documentation with the special symbols:


- upside triangle in the circle – for the identification of the characteristics/parameters having the influence to the safety / conformity to the legislative provision,


- rhomb – for the identification of the characteristics/parameters having the influence to the work efficiency / functioning, fit, exploitation parameters, further product processing.

The Supplier shall provide stable and controlled production processes for getting special parameters (process repeatability index not low than 1,67).

Confirming information for the execution of the above said requirements shall be provided at the Customer's request.

8.3.4 Means for design and developing control

8.3.4.1 Monitoring

The Supplier shall provide monitoring of the project activity. Monitoring results shall be provided upon AO SOATE request.

8.3.4.2 - 8.3.4.3 There are no Customer's specific requirements for this item.

8.3.4.4 Product approval process

The Supplier shall perform Product Part Approval Process (PPAP) before the start of serial deliveries of new or modified products according to presentation level not less than 3 provided by the Customer, if the Customer did not foreseen the others. The target is to confirm possibility of Supplier's production facilities to manufacture products corresponding stated quality requirements, terms and volumes (according to reference manual PPAP AIAG). The requirements for the different levels of document submission are specified in the Appendix 1.

Table 1. Requirements for different levels of PPAP

Requirements	Presentation level				
	1	2	3	4	5
1. Technical data	R	S	S	*	R
2. Documents for technical changes	R	R	S	*	R
3. Customer's technical approval if demanded	R	R	S	*	R
4. Design FMEA	R	R	S	*	R
5. Process flow chart	R	R	S	*	R
6. Process FMEA	R	R	S	*	R

7. Dimensions measurement results	R	S	S	*	R
8. Results of material testing/testing of performance characteristics	R	S	S	*	R
9. Process preliminary research	R	R	S	*	R
10. Measuring system investigation	R	R	S	*	R
11. Documents for laboratory qualification	R	S	S	*	R
12. Control plan	R	R	S	*	R
13. Part submission warrant (PSW)	S	S	S	S	R
14. Appearance Approval Report (AAR) **	S	S	S	*	R
15. Control list for bulk products	R	R	R	*	R
16. Products samples	R	S	S	*	R
17.Reference sample	R	R	R	*	R
18. List of control means	R	R	R	*	R
19. Data for conformation to Customer's special requirements	R	R	S	*	R

** Appearance Approval Report is provided if there are special requirements to the part appearance, color, grain, shape in the design documentation.

Documents with the symbols are:

- «S» prepared and kept by the Supplier and obligatory submitted to the Customer;
- «R» prepared and kept by the Supplier, easy access to the Customer's representatives by request;
- «*» prepared and kept by the Supplier, if necessary provided to the Customer by request.

At Customer's request the Supplier shall perform Product Part Approval Process for serial products having strategic significance for the Customer or quality problems. проблемы по качеству.

In case of temporary approval the Supplier works out corrective actions until the end of temporary approval period and provides documents confirming non-conformities removal and performs a new Product Part Approval Process. Delivery of new or modified products without preliminary approval is prohibited.

The Customer is entitled to make an assessment audit of the Supplier (additionally to documents provided) to make a decision on production approval.

8.3.5 Output data for design and development

8.3.5.2 Process design output data

The Supplier shall use reverse FMEA (R-FMEA) as the following:

- planned with defined period (period is defined by the Supplier);
- in case of increase set defect rate (the Customer informs the Supplier by letter);
- in case of defects discovered by materials and complete parts supply at AO SOATE (the Customer informs the Supplier by letter).

R-FMEA results shall be documented and submitted to AO SOATE by request.

8.4.2.3.1 Software for automobile industry products and for automobile industry products with installed software

Suppliers of software for automobile industry products and products for automobile industry with installed software shall apply and follow quality assurance process for software for these products.

Software quality is characterized by 6 structural sets of characteristics, which in turn are detailed under such characteristics (subparameters) as:

Performance – conformability of software performance to functions required by the user. Performance is characterized by the following subparameters (subcharacteristics):

- relevance for use
- accuracy (correctness, precision)
- capacity for interaction (especially net interaction)
- safety

Performance capability - software capability to provide solutions to satisfy the Customer and the User and to meet their requirements through use of software complex in specified conditions.

Operational suitability - set and description of a subparameter and its attributes to define its purpose, list, necessary and available software functions conforming to technical scope of work and to the Customer's and future User's specifications.

Reliability – provision of software with low failure probability during software real time functioning. Reliability is characterized by the following subparameters (subcharacteristics):

- completion level (lack of failure)
- fault tolerance
- recovery
- availability
- readiness

Usability (applicability) – software feature, determining complexity of its understanding, studding and use and also skilled user adoption in case of use under given terms.

Usability is characterized by the following subparameters (subcharacteristics):

- transparency
- easy for use
- learnability
- attractivety

Efficiency – software feature providing the desired efficiency to solve functional targets taking into account computing power used under given terms.

Efficiency is characterized by the following subparameters (subcharacteristics):

- time efficiency

- resources used

Maintainability – software suitability modification and configuration or function change.

Maintainability is characterized by the following subparameters (subcharacteristics):

- easy for analyzing,

- ability to change

- stability

- testability

Mobility – software availability for moving from one operating system into another one.

Mobility is characterized by the following subparameters (subcharacteristics):

- adaptability

- installation ease

- conformability

- replaceability.

To estimate software design process the Supplier shall use the methodic of software design estimation. Using prioritizing on the base of risks and potential influence for the User the Supplier shall keep documented information about self-assessment of possibilities to design software.

8.4.2.4.1 Audits by the second side

In the frame of Supplier's monitoring and assessment of conformation of its activity to the requirements stipulated by the Customer the latter is entitled to provide an audit of its quality management system, Supplier's processes and products (after the preliminary notification).

The Supplier shall allow the Customer access to all production and storage facilities and an access to all documents in connection with QMS and products production. The Customee shall inform the Supply about the results of the audit.

A representative of the Customer of auto components is allowed to take part in audit planning.

8.4.3 Information for external providers

With reference of initiation of American regulation authority SEC the Supplier shall provide the Customer information about use of special material known as "conflict materials" in the frame of supplying chain. It covers such minerals as gold, tin, tantalum and tungsten (and their derivatives) in case they are of Democratic Republic of the Congo origin. In case, the Supplier uses these minerals in products supplied to the Customer is obliged to answer the questionnaire annually (detailed information is available on AIAG www.aiag.org)

8.5 Production and service providing

8.5.1.4 Verification after stoppage

The Supplier shall inform the Customer about the full stop of its production for more than 5 days. The Supplier shall have the confirmation about product conformity after the stoppage and submit it to the Customer on request.

8.5.6 Management of change
8.5.6.1 Management of change amendment

The Supplier shall inform the Customer about the planned changes before their realization, agree all the changes in the project and in the production process with the Customer. On the stage of informing about the changes AO SOATE agrees a list of documents for presentation of ANPQP methodology with materials and components Supplier.

Each change shall be fixed in a record about product or process condition with obligatory indication of changes and terms of their implementation.

8.6 Products and service release

8.6.2 Layout inspection and performance testing

The Supplier shall perform periodical product testing and layout inspection for conformity to all requirements on the approved drawing not rare than once a year and provide the results to the Customer.

8.7 Management of unsuitable release
8.7.1.4 Management of modified products
8.7.1.5 Management of repaired products

Modification or repairing of non-conformed product is provided on the results of risks assessment upon agreement with the Customer and obligatory confirmation in the control plan and other important information. Manuals for dismantling, modification and repairing including requirement for the repeated checking and traceability shall be available to the affected staff.

9. Assessment of functioning
9.1.1.1 Monitoring and measurement of production processes

The Supplier shall provide manageability and repeatability of special products characteristics with the help of statistical process control (SPC) according to the instruction manual SPC AIAG.

SPC shall be provided on the pilot batch for all special characteristics (products and process), determined by the Supplier and agreed with the Customer.

For assessment of serial process Cp, Cpк indexes are calculated – for stable processes or Pp, Ppк - for new ones. Cm, Cmк for production facilities. The repeatability index shall be lot less than 1,67 for special characteristics and not lower than 1,33 for all the rest. In case the values are less corrective actions are needed forward for the process possibilities improvement and agreed with the Customer. Before their implementation 100% control shall be implemented.

10. Improvement

10.2.3 Problem solving

8D process

In case problems with supply quality arise by the Supplier and getting notification about poor quality the Supplier is obliged give the initial response on D0-D3 steps within 24 hours, on D4-D5 steps within 10 days (since the sample receiving), the final response about activities for the defect removal on steps D6-D8. The Supplier sends 8D report about the realization of

corrective activities and includes the confirming information. 8D is available on the Customer's website http://soate.ru . In case the Supplier fails to submit 8D report in may be followed by Supplier ranking reduction and one of the following measures: tightening of incoming inspection, refuse of new business, selection of an alternative Supplier, notification about the possibility of the Contract termination.

Process «Controlled delivery»

On demand of the Customer the Supplier shall implement Control delivery mode with additional control of manufactured claimed product. Under Controlled delivery mode I – additional control is provided by the Supplier. Under Controlled delivery mode II – additional control is provided by the third side propped by the Customer.

Annex 1

Supplier Evaluation Audit Check List Form
to comply with the requirements of IATF 16949:2016

Supplier		*Supplied Products*	
Location Место Расположения			
Audit Team Leader *Audit Team*		*Audit Date*	

NA	- not applied
0	- not applied (not implemented)
2	- requirements are considered in the internal regulatory documentation) but the evidence of fulfillment is absent.
6	requirements are considered in the internal regulatory documentation but the samples of fulfillment do not cover the company or the fulfillment is not systematic

№	AUDIT SCOPE	SCORE	OBJECTIVE EVIDENCE (POSITIVE/NEGATIVE)
1. Quality management system			
1.1	*The Organisation has been certified to comply with IATF 16949:2016. In the certification authority acknowledged by IATF, the checked product is included the certification scope.*		
1.2	*The Quality Policy (item 5.2) and Quality Objectives (item 6.2.1) have been developed considering the requirements of the interested Parties and are communicated to all employees.*		
1.3	*The planning (items 6.2.2, 6.2.2.1) and the control of quality objectives achievement (item 9.3.2 c2) is performed.*		
1.4	*The process enterprise model have been defined (processes, inputs and expected outputs, and their interaction are defined) (item 4.4).*		
1.5	*The criteria and methods (including the monitoring, measurements and performance indicators) to provide the effective functioning of QMS processes (item 4.4.1, 5.1.1.2).*		
1.6	*If the performance indicators do not achieve the target values are the corrective actions developed? (items 10.2.1 u 10.2.2)*		

1.7	*The action related to the risks and the possibilities (item 4.4.1f, 6.1). The preventive actions (6.1.2.2). The contingency plan (6.1.2.3).*		
1.8	*The audit procedures have been developed (processes and products, quality management systems) (item 9.2).*		
1.9	*Frequency to carry out the internal audits: QMS processes audit and the manufacturing processes audit is to be carried out within the every three years period.*		
1.10	*The competence of organisation internal auditors has been confirmed (item 7.2).*		
1.11	*The QMS is analysed by the sengior management in the planned time periods using the certain information (the results of external and internal audits, customer satisfaction and the feedbacks of the interested parties, reports about the functionning of the processes etc.) (item 5.1, 9.3.1, 9.3.2).*		
1.12	*The Specific Customer Requirements are met (item 5.1.2, 9.1.2).*		

2. Documented information management			
2.1	*There are the docemented rules (procedure, etc.) of documented information management (development, implementation, change, cnacelation, etc.) (7.5).*		
2.2	*There is the register (list) of documents for QMS and Normative Technical Documentation, defined as the necessary, showing the status (version) of the document.*		

3. Design and development planning. Presence of the critical points in the section			
3.1	*The design and development process of products and manufacturing processes have been implemented and documented. (8.3.1).*		
3.2	*The Project activity realization is performed in accordance to the accepted methods (for example APQP u VDA-RGA). (8.3.2)*		
3.3	*Definition and analysis of requirements to the products and services (8.2.2, 8.2.3).*		

3.4	*The special characteristics of the finished products and the requiments to them have been defined and agreed to the Customer. The products and services special characteristics management is kept (symbol identififcation, showing in the control plans, work instructions, FMEA reports) (8.2.3.1.2, 8.3.3.3).*		
3.5	*The requiments to the materials and the components of the products and their forwarding through the shipment chain have been defined and agreed to the Customers in the Contracts. (8.4.3,8.4.3.1).*		
3.6	*The design and development validation is performed considering the customer requirements including any applicable requlatiry legal standards for industry and government authorities. (8.3.4.2).*		
3.7	*There is the prototype product (test sample) test plan (parameters and characteristics, test volumes, test methods) for all the issued products. (8.3.4.3).*		
3.8	*There are the results of prototype products (test samples) tests. (8.3.4.3).*		
3.9	*Для оценки конструкции применяется метод D-FMEA.(8.3.3.1, 8.3.5.1).*		
3.10	*To develop and assess the thechnologies there are applied the process flow chart, control plans and P-FMEA. (8.3.5.2).*		
3.11	*The reverse FMEA (R-FMEA) is applied at the FMEA analysis.*		
3.12	*Proccess flow charts, control plans and PFMEA is corresponded between each other (9.1.1.1).*		
3.13	*The Customer production approval is carried out in accordance to the requirements of PPAP. (8.3.4.4).*		
3.14	*The documented process for control and reaction for the changes, influenced to product creation including the initiated by the Customer. (8.2.4, 8.3.6, 8.5.6).*		
3.15	*The connection between the changes and updates of FMEA, control plans, process flow diagrams. (8.2.4, 8.3.6).*		
3.16	*The fulfillment of the requirements about the conformity of the purchased materials and product components to the legislative and regulatory legal requirements of the receiving country, country of shipment and destination country, specified in the contracts with the Suppliers. (8.4.2.2).*		

4. Tooling and Equipment. Presence of the critical points in the section (8.5.1)			
Tooling (8.5.1.6)			
4.1	*The applied tooling is identified and there are the data sheets which are in the actual status.*		
4.2	*The status identification of the the tooling has been implemented: ready for operation, requiring the maintenance/repairing, dead storage.*		
4.3	*The tooling is kept together with the sample of the last part (if it is acceptable).*		
4.4	*The storage of the tooling is duly performed without the risk to damage it.*		
4.5	*The criteria for the tooling attestation have been defined (first-time, periodical and after repairing).*		
4.6	*Attestation of multiple-station tooling is carried out with the measuring of the perts received from the every cavity/flow (if it is acceptable).*		
4.7	*There are the actual drawings for every tooling (if it is acceptable).*		
Equipment (8.5.1.5)			
4.8	*There are the preventive maintenance and repair schedule for all the equipment (if it is acceptable).*		
4.9	*The planned operations for the equipment maintenance and repair schedule are clear described (if it is acceptable).*		
4.10	*The are the records for the scheduled and breakdown maintenance with the breakdown registration..*		
4.11	*There are the correction process of the equipment preventive maitenance using the information about the breakdown maintenances.*		
4.12	*There are the norms to store the spare parts for the equipment.*		
4.13	*The norms to store the spare parts for the equipment are performed.*		

5. Human resource training (7.2).			
5.1	*The requirements to the competence of the staff for the every working place have been determined. (7.2, 8.5.1e).*		
5.2	*The staff qualification is checked in the scheduled time periods. (7.2.2).*		

5.3	*The staff training is performed and the knowledge of staff about the severity and importance of its activity is provided. (7.3.1)*		
5.4	*There is the training schedule for the new employees.*		
5.5	*There is the visualized matrix showing the level of training of the working staff to perform the operations on the every working place.*		

6. Production process. Presence of the critical points in the section.			
6.1	*There is the process of information exchange (quality, current production problems, key moments) between the shifts (if there are more then one shift).*		
6.2	*The daily meetings are carried out to discuss and solve the production problems (quality, performance, breakdown and repair, etc.).*		
6.3	*All the working places are provided with the visual work instructions.*		
6.4	*All the work instruction are available to read.*		
6.5	*There are the schedules to clean the production areas / working places / equipment.*		
6.6	*The work places are comply with the safety requirements and safety and health protection, 5S.*		
6.7	*There are the documents to control the products and processes in accordance to the control plans on the work places.*		
6.8	*The evaluation of special processes (processes of thermal treatment, galvanic treatment, coating, welding, soldering) for the comply with the requirements of AIAG: CQI-9, CQI-11, CQI-12, CQI-15, CQI-17 (if necessary).*		
6.9	*Start of production process including Poka Yoke.*		

7. Monitoring and measuring of products and production process. Control of non-conforming product. Presence of critical points in the section.			
Incoming control			
7.1	*The strict adherence of the set criteria for the acceptacne of delivered components and materials is provided (8.6.4). Non-conforming products mangement for the Materials and Components.*		
7.2	*There are the results of the laboratory checking of product quality compliance to the requirements specified in the Supplier's documents in accordance to Normative Documentation (GOST, TU) (8.6.4).*		

Identification and traceability			
7.3	*Application of identification and traceability of products at the incoming of materials, raw material and product components required at the product manufacturing, at the handling out for production at the all stages of production, storage, delivery. (8.5.2).*		
Control within the production process			
7.4	*Verification of the operation setting: rgistration of quality control results and verification of setting (in the beginning of the shift), control of the first part (after the down-time, re-setting, change of the batch, etc.). Verification evidence (8.5.1.3, 8.5.1.4).*		
7.5	*Providing of the adherence of the measuring methods set in the control plans of the measuring methods, plans of sampling control, reaction plans. (8.5.1, 8.5.1.1, 9.1.1.1).*		
7.6	*Performing of monitoring and measuring of the product characteristics at the correspondent stages in accordance to the planned measurements (Control Plan, Control Instruction) (8.5.1). Special characteristics monitoring and control.*		
7.7	*Using of Statistic Control Methods to the special characteristics repeatability (SPC) (9.1.1).*		
Control records			
7.8	*Existence of the records about the control of the product/process characteristics at all the stages of the production cycle (incoming control, within the production process, acceptance of the finished products). Extensive control for the special characteristics (9.1.1).*		
7.9	*Keeping period for the control records is set in accordance to the customer requirements and governed with the internal documents. (7.5.3.2.1)*		
Non-conforming products management			
7.10	*The rules of identification and isolation of the non-conforming products are set. Rules adherence (8.5.2, 8.7).*		
7.11	*The rules for the further handling with the non-conforming product have been described and are applied: rework, final rejection, scrappage, etc. (if it is applicable).*		
7.12	*Seeking of the root cause. It is developed the corrective actions for the elimination of the non-conforming products occurrence reasons (proving of efficiency, extension to the similar processes). Actions to prevent the repeated defects (10.2).*		
7.13	*The storage area for the non-conforming products (rejection area) is identified and restricts the unauthorized access. Keeping of registration of the non-conforming products in the rejection area.*		

8. Measuring means management. Presence of critical points in the section.			
8.1	*The calibration frequency for the measuring means is governed with the internal document in accordance to the requirements of manufacturer, customer, wear. (7.1.5.1, 7.1.5.2, 7.1.5.2.1).*		
8.2	*All the applied measuring means have been attested, the attestation mark have been proven in written. (7.1.5.1)*		
8.3	*The existence of the procedure and analysis of the measuring means, measuring systems for detection of the stability and repeatability of results (MSA). (7.1.5.1.1).*		
8.4	*The applied measuring systems are applicable for the measurement, this applicability is confirmed with the MSA records. (7.1.5.1).*		
8.5	*The identification with the specification of the personal number and the date of the next attestetion is placed to the all measuring means. (7.1.5.2b)*		
8.6	*The existence of the documented information with the definition of the activity area of the internal laboratory and the possibility to perform the required services to control, test or calibration/check. (7.1.5.3.1).*		
8.7	*The existence of the accreditation of the external laboratory, carrying out the tests or checking of conformity to ISO/IEC 17025 or its national equivalent, by the authority with the ILAC MRA accreditation. (7.1.5.3.2)*		
8.8	*The carruing out of the verififcation of the Software version applied for the process control, the verification of the Software connected to the production and used for the product and process control. Kepping of the records of the verification results. (7.1.5.2.1)*		
8.9	*The actions at the detection of the not calibrated / not verified or broken control, measurement or test equipment have been defined. Evidence of fulfillment. (7.1.5.2.1)*		

9. Problem solution (10.2.3)			
9.1	*The documented processes for the problem solution (including the customer claims; defects detected in the manufacturing; non-conformities of Materials delivered form the Suppliers; non-conformities detected within the audits) have been developed. (10.2.3)*		

10. Non-conformities and correction actions (10.2)			
10.1	*The actions for the analysis of non-conformities, detection of the non-conformities, evaluation of the action necessity to eliminate the non-conformities, recording of the actions results and their analysis have been specified.*		

11. Error-proofing (Poka Yoke)			
11.1	*The documented process for the detection of the using of the conforming methods for the error-proofing (Poka-Yoke) is developed and applied. (10.2.4).*		

12. Transport and storage			
Package (8.5.4)			
12.1	*The method of packaging of finished products is agreed to the customer and meets the requirements of the customer.*		
12.2	*The method of packing of finished products provides their safekeeping.*		
12.3	*There is the documented reaction plan for the case of package damage.*		
Moving of products and materials during the production (8.5.4)			
12.4	*The method of moving and storage protects from the mixing of various materials and components of products.*		
12.5	*The method of moving and storage protects the materials and components of products from the missing operation.*		
Traceability (8.5.2)			
12.6	*Existence of traceability till the batch of product components and materials included into the content of the finished product.*		
Identification (8.5.2)			
12.7	*The materials and products stored at the warehouse have been identified clearly with the tags and labels easy to read.*		
12.8	*All the components and semi-finished goods (unfinished goods) in the production are adentified (the semi-finished goods/products itself or the tare with the semi-finished goods/products).*		
FIFO (8.5.4)			
12.9	*FIFO (the first in-first-out principle) is performed at all the stages of storage, manufacturing and shipping.*		

12.10	*Marking of the expiry date on the short shelf-life products (if it's applicable).*		
12.11	*The possibility to observe the FIFO principle (using the manual/written/visualised equivalent) in case of failure of the information system (if FIFO is realized with it).*		

13. Supplier management (8.4). Presence of critical points in the section.			
13.1	*The criteria of selection and supplier evaluation (promary, periodical) have been defined.*		
13.2	*There is the reaction plan for the deviation of the periodical supplier evaluation, the supplier development plan to improve the quality of its products/processes.*		
13.3	*Supplier production approval is performed in accordance to the requirements of PPAP or customer.*		
13.4	*The procedure of the claims processing is defined.*		
13.5	*The requirements to the shipment quality have been defined in the contract (example, PPM).*		

RESULTING SCORE	

Supplier Evaluation Audit Check List Form
to comply with the requirements of ISO 9001:2015

Supplier	*Supplied Products*
Location	
Audit Team Leader *Audit Team*	*Audit Date*

NA	- not applied
0	- not applied (not implemented)
2	- requirements are considered in the internal regulatory documentation) but the evidence of fulfillment is absent.
6	requirements are considered in the internal regulatory documentation but the samples of fulfillment do not cover the company or the fulfillment is not systematic

№	AUDIT SCOPE	SCORE	OBJECTIVE EVIDENCE (POSITIVE/NEGATIVE)
1. Quality management system			
1.1	*The Organisation has been certified to comply with ISO 9001:2015 in the certification authority having the accreditation mark of the acknowledged member of IAF MLA.*		
1.2	*The Quality Policy (item 5.2) and Quality Objectives (item 6.2.1) have been developed considering the requirements of the interested Parties and are communicated to all employees.*		
1.3	*The planning (items 6.2.2) and the control of quality objectives achievement (item 9.3.2 c2) are performed.*		
1.4	*The process enterprise model have been defined (processes, inputs and expected outputs, and their interaction has been defined) (item 4.4).*		
1.5	*It have been developped the criteria and methods (including the monitoring, measurements and performance indicator) to provide the effective functioning of QMS processes (item 4.4.1).*		
1.6	*If the performance indicators do not achieve the target values are the corrective actions developed? (items 10.2.1 u 10.2.2)*		
1.7	*The action related to the risks and the possibilities (item 4.4.1f, 6.1).*		
1.8	*The audit procedures have been developed (processes and products, quality management systems) (item 9.2).*		
1.9	*The audit schedule is fulfilled.*		
1.10	*The competence of organisation internal auditors is confirmed (item 7.2).*		

1.11	*The QMS is analysed by the sengior management in the planned time periods using the certain information (the results of external and internal audits, customer satisfaction and the feedbacks of the interested parties, reports about the functionning of the processes etc.) (item 5.1, 9.3.1, 9.3.2).*		
1.12	*The Specific Customer Requirements are met (item 5.1.2, 9.1.2).*		

2. Documented information management			
2.1	*There are the docemented rules (procedure etc.) of documented information management (development, implementation, change, cancelation etc.). (7.5)*		
2.2	*There is the register (list) of documents for QMS and company Normative Technical Documentation, defined as the necessary, showing the status (version) of the document.*		

3. Design and development planning. Presence of the critical points in the section.			
3.1	*The design and development process of products and manufacturing processes has been implemented and documented. (8.3.1).*		
3.2	*The Project activity realization is performed in accordance to the accepted methods of design. Fulfilment of the project time schedules. (8.3.2)*		
3.3	*The requirements to the products and services have been defined and are analyzed (8.2.2, 8.2.3).*		
3.4	*The requirements to the materials and the product components have been defined and agreed in the contracts with the Suppliers. (8.4.3,8)*		
3.5	*The verification and validation of the design and development is performed in accordance to the Customer requirements. (8.3.2 c, g)*		
3.6	*The documented process for control and reaction for the changes, influenced to product creation including the initiated by the Customer. (8.2.4, 8.3.6, 8.5.6)*		
3.7	*It is performed the identification, analysis and management of changes, made within or after the design and development of products and services. (8.3.6)*		
3.8	*Finalization and approval of the special characteristics by the Customer. Management of special characteristics is kept.*		

4. Equipment and tooling (7.1.3, 8.5.1d). Presense of the critical points in the section.			
4.1	*The applied equipment and tooling has been identified.*		

4.2	*There are the preventive maintenance and repair schedule for all the equipment and the evidence of its fulfillment (if it is acceptable).*		
4.3	*The planned operations for the equipment maintenance and repair schedule are clear described (if it is acceptable).*		

5. Human resource training (7.2). Presence of the critical points in the section.			
5.1	*The requirements to the competence of the staff for the every working place have been determined. (7.2, 8.5.1e).*		
5.2	*The staff qualification is checked in the scheduled time periods. (7.2)*		
5.3	*The staff training is performed and the knowledge of staff about the severity and importance of its activity is provided. (7.3)*		
5.4	*There is the training schedule for the new employees.*		
5.5	*There is the visualized matrix showing the training level of the working staff to perform the operations on the every working place.*		

6. Production process. Presence of the critical points in the section.			
6.1	*All the working places are provided with the visual work instructions. (8.5.1 a)*		
6.2	*The work places are comply with the safety requirements and safety and health protection.*		
6.3	*There are the documents to control the products and processes on the work places. (8.5.1 c, 8.6)*		

7. Monitoring and measuring of products and production process. Control of non-conforming product. Presence of critical points in the section.			
Incoming control			
7.1	*The strict adherence of the set criteria for the acceptacne of delivered components and materials is provided. Non-conforming products mangement for the Materials and Components. (8.4.1 a)*		
7.2	*There are the results of the laboratory checking of product quality compliance to the requirements specified in the Supplier's documents in accordance to Normative Documentation (GOST, TU). (8.4.1 a)*		
Identification and traceability			
7.3	*Application of identification and traceability of products at the incoming of materials, raw material and product components required at the product manufacturing, at the handling out for production at the all stages of production, storage, delivery. (8.5.2)*		
Control within the production process			
7.4	*Monitoring and mesurement of product charaxteristics at the correspondent stages in accordance to the scheduled measures (Control Plan, Control Instruction). Monitoring and management (8.5.1, 9.1.1)*		

Control records			
7.5	*Existence of the records about the control of the product/process characteristics at all the stages of the production cycle (incoming control, within the production process, acceptance of the finished products).*		
Non-conforming products management			
7.6	*The rules of identification and isolation of the non-conforming products are set. Rules adherence . (8.5.2, 8.7)*		
7.7	*The rules for the further handling with the non-conforming product have been described and are applied: rework, final rejection, scrappage, etc. (if it is applicable)*		
7.8	*Seeking of the root cause. It is developed the corrective actions for the elimination of the non-conforming products occurrence reasons (proving of efficiency, extension to the similar processes). Actions to prevent the repeated defects (10.2).*		
7.9	*The storage area for the non-conforming products (rejection area) is identified and restricts the unauthorized access. Keeping of registration of the non-conforming products in the rejection area.*		
8. Measuring means management. Presence of critical points in the section.			
8.1	*The calibration frequency for the measuring means is governed with the internal document in accordance to the requirements of manufacturer, customer, wear. (7.1.5.1, 7.1.5.2).*		
8.2	*All the applied measuring means have been attested, the attestation mark has been proven in written. (7.1.5.1)*		
8.3	*All the measuring means have the identification showing the individual number and the next attestation date. (7.1.5.2b)*		
8.4	*The actions at the detection of the not calibrated / not verified or broken control, measurement or test equipment have been defined. (7.1.5.2)*		
9. Non-conformities and correction actions (10.2)			
9.1	*The actions for the analysis of non-conformities, detection of the non-conformities, evaluation of the action necessity to eliminate the non-conformities, recording of the actions results and their analysis have been specified.*		
10. Transport and storage			
Package (8.5.4)			
10.1	*The method of packaging of finished products is agreed to the customer and meets the requirements of the customer.*		
10.2	*The method of packing of finished products provides their safekeeping.*		

10.3	*There is the documented reaction plan for the case of package damage.*		
Moving of products and materials during the production (8.5.4)			
10.4	*The method of moving and storage protects from the mixing of various materials and components of products.*		
10.5	*The method of moving and storage protects the materials and components of products from the missing operation.*		
Traceability (8.5.2)			
10.6	*Existence of traceability till the batch of product components and materials included into the content of the finished product.*		
Identification (8.5.2)			
10.7	*The materials and products stored at the warehouse have been identified clearly with the tags and labels easy to read.*		
10.8	*All the components and semi-finished goods (unfinished goods) in the production are adentified (the semi-finished goods/products itself or the tare with the semi-finished goods/products).*		

11. Supplier management (8.4). Presence of critical points in the section.			
11.1	*The criteria of selection and supplier evaluation (promary, periodical) have been defined.*		
11.2	*There is the reaction plan for the deviation of the periodical supplier evaluation, the supplier development plan to improve the quality of its products/processes.*		
11.3	*The procedure of the claims processing is defined.*		

RESULTING SCORE	

Supplier Evaluation Audit Check List Form
for the non-certified as per ISO 9001:2015

SUPPLIER		*SUPPLIED PRODUCTS*
LOCATION		
AUDIT TEAM LEADER *AUDIT TEAM*		*AUDIT DATE*

NA	- not applied
0	- not applied (not implemented)
2	- requirements are considered in the internal regulatory documentation) but the evidence of fulfillment is absent.
6	requirements are considered in the internal regulatory documentation but the samples of fulfillment do not cover the company or the fulfillment is not systematic

№	AUDIT SCOPE	SCORE	OBJECTIVE EVIDENCE (POSITIVE/NEGATIVE)
1. Quality management system			
1.1	*Existence of the QMS certification plan.*		
1.2	*The Quality Policy (item 5.2) and Quality Objectives (item 6.2.1) have been developed considering the requirements of the interested Parties and are communicated to all employees.*		
1.3	*The planning (items 6.2.2, 6.2.2.1) and the control of quality objectives achievement (item 9.3.2 c2) are performed.*		
1.4	*The process enterprise model have been defined (processes, inputs and expected outputs, and their interaction are defined) (item 4.4).*		
1.5	*It have been developped the criteria and methods (including the monitoring, measurements and performance indicator) to provide the effective functioning of QMS processes (item 4.4.1).*		
1.6	*If the performance indicators do not achieve the target values are the corrective actions developed? (items 10.2.1 u 10.2.2)*		
1.7	*The rules to carry out the internal audits (quality management systems, processes and products) (item 9.2) have been developed. The audit frequency has been defined.*		
1.8	*The competence of organisation internal auditors is confirmed (item 7.2).*		
1.9	*The Specific Customer Requirements are met (item 5.1.2, 9.1.2).*		

2. Documented information management			
2.1	*There is the register (list) of documents for QMS and company Normative Technical Documentation, showing the status (version) of the document.*		

3. Design and development planning. Presence of the critical points in the section			
3.1	*The design and development process of products and manufacturing processes have been implemented and documented. (8.3.1).*		
3.2	*The requirements to the products and services before the obligations undertaking to deliver the products have been defined and are analyzed. The data of analysis is registered and kept (8.2.2, 8.2.3).*		
3.3	*The requirements to the materials and the product components have been defined and agreed in the contracts with the Suppliers. (8.4.3,8)*		
3.4	*The documented process for control and reaction for the changes, affecting the product creation including the initiated by the Customer. (8.2.4).*		

4. Tooling and Equipment. (7.1.3, 8.5.1d) Presence of the critical points in the section.			
4.1	*The applied equipment have been identified.*		
4.2	*There are the preventive maintenance and repair schedule for all the equipment and there is the evidence of the its fulfillment (if it is acceptable).*		
4.3	*The planned operations for the equipment maintenance and repair schedule are clear described (if it is acceptable).*		

5. Human resource training. Presence of the critical points in the section.			
5.1	*The requirements to the competence of the staff for the every working place have been determined. (7.2, 8.5.1e).*		
5.2	*The staff qualification is checked in the scheduled time periods. (7.2)*		
5.3	*There is the visualized matrix showing the level of training of the working staff to perform the operations on the every working place.*		

6. Production process. Presence of the critical points in the section. (8.5)			
6.1	*All the working places are provided with the visual work instructions. (8.5.1 a)*		
6.2	*The work places are comply with the safety requirements and safety and health protection.*		
6.3	*There are the documents about the control of products and processes on the work places. (8.5.1 c, 8.6).*		

7. Monitoring and measuring of products and production process. Control of non-conforming product.			
Incoming control			
7.1	*The strict adherence of the set criteria for acceptance of the delivered components and materials is provided. (8.4.1 a)*		
7.2	*There are the results of the laboratory checks of product quality compliance to the requirements specified in the Supplier's documents in accordance to Normative Documentation (GOST, TU). (8.4.1 a)*		
Identification and traceability			
7.3	*Application of identification and traceability of products at the incoming of materials, raw material and product components required at the product manufacturing, at the handling out for production at the all stages of production, storage, delivery. (8.5.2)*		
Control within the production process			
7.4	*Monitoring and mesurement of product charaxteristics at the correspondent stages in accordance to the scheduled measures (Control Plan, Control Instruction). (8.5.1, 9.1.1)*		
Control records			
7.5	*Existence of the records about the control of the product/process characteristics at all the stages of the production cycle (incoming control, within the production process, acceptance of the finished products). (9.1.1)*		
Non-conforming products management			
7.6	*The rules of identification and isolation of the non-conforming products are set. (8.5.2, 8.7)*		
7.7	*The rules for the further handling with the non-conforming product have been described and are applied: rework, final rejection, scrappage, etc. (if it is applicable)*		
7.8	*The storage area for the non-conforming products (rejection area) is identified and restricts the unauthorized access. Keeping of registration of the non-conforming products in the rejection area.*		
8. Measuring means management. Presence of critical points in the section.			
8.1	*The calibration frequency for the measuring means is governed with the internal document in accordance to the requirements of manufacturer, customer, wear. (7.1.5.1, 7.1.5.2)*		
8.2	*All the applied measuring means have been attested, the attestation mark have been proven in written. (7.1.5.1)*		
8.3	*All the measuring means have the identification showing the individual number. (7.1.5.2b)*		
9. Non-conformities and correction actions (10.2)			
9.1	*The actions for the analysis of non-conformities, detection of the non-conformities reasons, evaluation of the action necessity to eliminate the non-conformities, recording of the actions results and their analysis have been specified.*		

10. Transport and storage			
Packing (8.5.4)			
10.1	*The method of packaging of finished products is agreed to the customer and meets the requirements of the customer.*		
10.2	*The method of packing of finished products provides their safekeeping.*		
10.3	*There is the documented reaction plan for the case of package damage.*		
Moving of products and materials during the production (8.5.4)			
10.4	*The method of moving and storage protects from the mixing of various materials and components of products.*		
10.5	*The method of moving and storage protects the materials and components of products from the missing operation.*		
Traceability (8.5.2)			
10.6	*Existence of traceability till the batch of product components and materials included into the content of the finished product.*		
Identification (8.5.2)			
10.7	*The materials and products stored at the warehouse have been identified clearly with the tags and labels easy to read.*		
10.8	*All the components and semi-finished goods (unfinished goods) in the production have been adentified (the semi-finished goods/products itself or the tare with the semi-finished goods/products).*		

11. Supplier management. Presence of the critical points in the section. (8.4)			
11.1	*The criteria of supplier selection and evaluation (primary, periodical) have been defined.*		
11.2	*The requirements to the delivery quality have been defined in the contract.*		

RESULTING SCORE	

AGREED BY:

Head of Quality		
Management Department	**E.A. Selezneva**	**«_____» _____ 2021г**
Commercial Director	**O.N. Velichko**	**«_____» _____ 2021г**