

Requirements from IATF 16949 + ISO 9001	Additional WKW.group requirements / documentation	Applicable documents
<b>1.0</b>	<b>Quality management system</b>	
	Minimum certification according to ISO 9001 by an independently accredited certifier. plus procedures from IATF 16949 (8.5.2.3) which aim to achieve accredited certification in accordance with IATF 16949. plus compliance with the OEM-CSR requirements handed over by WKW WKW.group reserves the right to carry out process or product and system audits at the supplier's premises by arrangement. Admission of customer visits to the supplier (e.g. for audits, problem analysis).	*15 *01
4.1	General requirements	ultimate goal: zero defect target / ppm or product-specific Q-agreement can be agreed individually
<b>5</b>	<b>Management responsibility</b>	
5.1	Commitment of the management	
5.1.2	Customer orientation	OEM / CSR applicable requirements Sub-supplier management according to AIAG CQI 19 Minimum requirement according to IATF 16949 MAQMSR
5.2	Quality policy	
5.3.1	Responsibility and authority	Notification must be submitted without request via the self-disclosure *17 FB 8.4.1.2-001 or entered in the WKW supplier portal (JAGGAER), also in the event of changes.
5.3.2	Representative of the top management	Changes have to be communicated
6.2	Quality objectives and planning to achieve them	The goal is a zero-defect policy.
6.2.2.1	Planning	Process key figures / KPI's are to be defined, monitored and evaluated
6.3	Planning of changes	Suppliers shall inform WKW about significant organisational and / or business changes (such as change of management, quality representatives, company ownership, restructuring or insolvency).
<b>7.1</b>	<b>Management of resources</b>	
7.1.1	Provision of resources	
7.1.2	Human resources	Cyclical trainings regarding DmbA (documents with special archiving) and Product Liability Act [ProdHaftG] (incl. recall procedures) are the responsibility of the supplier
7.1.3	Infrastructure	The Supplier shall prepare contingency plans to maintain supply in the event of any of the following: Failure of essential production facilities, Supply interruption of externally provided products, processes and services; Recurring natural disasters and pandemics; Fire; interruptions of the supply systems; Labour shortage; EDI failure; Lack of packaging or disruptions to the infrastructure (transport routes). The current version of the emergency plan must be sent to the central supplier development department without being asked and entered in the supplier portal.
7.1.4	Working environment	The supplier undertakes to take out product liability insurance to cover the liability risk. This must include recall cost insurance incl. installation and removal costs as well as testing and sorting costs. For direct deliveries to the USA and Canada, damages are included in the insurance. The minimum cover/damage amounts to € 5.0 million; this does not constitute a limitation of the supplier's liability. The insurance contracts concluded do not constitute a limitation of liability in this respect; they only serve the purpose of mitigating the liability risk borne by our partners. In addition, fire insurance must be taken out. Legal requirements for occupational safety and environmental protection must be complied with in the respective country of production.
7.1.5	Monitoring and measurement resources	
7.3	Awareness	The supplier must understand and comply with the Code of Conduct.
7.4	Internal communication	
7.5.1.1	Documentation requirements	Product / process history (obligation to notify changes, etc. in the process) with evaluation of the VDA trigger matrix (FB 8.5.6-03)
8.2	Requirements for products and services	The supplier must have defined a product development process that complies with the VDA "Maturity Assurance for New Parts" or the AIAG APQP manual.
8.2.3	Review of requirements for products and services	The supplier may be required to complete a "capacity calculation including confirmation" to ensure that the supplier has validated the WKW requirements on supplier and capacity requirements.
<b>8.3</b>	<b>Development of products and services</b>	
8.3.2	Development planning	Active participation in product realisation with monthly or coordinated reporting Requirements are defined via applicable specifications (such as drawings, requirement specifications, QVP agreements, etc.).
8.3.3	Development inputs	The supplier documentation (FMEA, control plans, inspection instructions) must contain both WKW and supplier specifications.
8.3.3.1	Inputs for product development	Feasibility analysis, also with regard to special features, shall be supplied with the tender.
8.3.3.2	Eingaben für die Produktionsprozessentwicklung	

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8.3.4	Design and development controls	<p>Prototypes shall be clearly marked as prototypes unless otherwise stated by WKW.</p> <p>All products must be approved in accordance with VDA 2 (Level 2) / PPAP (Level3) WKW requirements as specified in the order. Changes require a written agreement. The cover sheet of the sampling must contain the validation of the declarable substances according to the "Global List of Declarable Motor Vehicles (GADSL)" or "International Material Data System (IMDS)".</p> <p>Product deliveries can only be made with the approved VDA 2 / PPAP, unless WKW grants an written exception. Process studies shall be based on a minimum of 30 parts, unless otherwise specified in the order. Results and individual data shall be provided.</p> <p>Acceptance criteria are: Cpk&gt; 1.33 and Ppk&gt; 1.67. The proof of process capability for special characteristics shall be provided continuously for those characteristics which are marked by a symbol in the WKW drawing or specification.</p>	
8.3.6	Design and development changes	The Supplier shall inform WKW without delay of any product and / or process changes affecting form, fit, function, performance, durability, appearance and / or the latest approved sample documentation in accordance with VDA 2 /PPAP.	
8.4	Control of externally provided processes, products and services	<p>PPF (VDA) &amp; PPAP (AIAG) requirements for automotive analogous to advance quality planning</p> <p>IMDS application for declaration of ingredients (EU Directive 2000/53/EC and IMDS Directive 001) --&gt; in case of non-compliance with IMDS Specification 001, a complaint (see 8.5.2) can be generated. The recording of material data in the IMDS (International Material-Data-System www.mdsystem.de) is a prerequisite for the production process and product release or Production Part Approval Process (PPF/PPAP). The IMDS data must be assigned to the respective WKW recipient plant. Requirements are defined via applicable specifications (such as drawings, requirement specifications, QVP agreements, etc.).</p> <p>Materials used, in particular metals and non-ferrous metals, must not exceed the naturally occurring radioactive levels</p>	*17 *01 *05/ *06/ *07/ *08
8.4.1.3	Sources of supply specified by the customer ("set parts" or directed buy)	Changes at suppliers are subject to approval. The supplier shall bear the quality responsibility for sub-suppliers.	*01
8.4.2.2	Legal and regulatory requirements	Compliance with legal and regulatory requirements and their confirmation	
8.5.1	Control of production and service provision	<p>The supplier shall perform a production readiness review and an internal Run&amp;Rate (R&amp;R) to validate its production processes.</p> <p>Sample parts for sampling (VDA 2 / PSW) must be clearly identified and referenced to the measurements.</p> <p>WKW reserves the right to provide its own performance tests such as R&amp;R or process audits.</p>	
8.5.1.6	Management of production tools as well as testing, measuring and manufacturing equipment.	Tools (service life, care/maintenance) regulated in the tool transfer contract; applicable customer requirement/property marking	*17 *19
8.5.3	Property of customers or external providers	WKW or WKW customer property must be identified and marked in accordance with WKW requirements.	
8.5.4	Product preservation	Packaging and labelling must be compatible with the way it was defined in advance	
8.5.4.1	Product preservation	For auxiliary materials (adhesives, primers, activators, etc.), a shelf life marking and recommended storage temperatures must be indicated on each packaging unit.	
8.6	Release of products and services	<p>Specification and requirements specification, sampling according to PPF (VDA) &amp; PPAP (AIAG) requirements Delivery commitment 100%.</p> <p>Packaging specification supplier according to WKW specification or agreed agreement;</p> <p>Factory certificates according to WKW specifications, if required;</p> <p>Obligation to notify in case of process changes;</p> <p>Clear part identification;</p> <p>Batch tracing incl. part identification for components with special verification obligation</p>	*01 *15 / *16 *17
8.6.2	Requalification exam	<p>All products must be subjected to requalification within the meaning of IATF 16949 or in accordance with OEM requirements. The requalification test, unless otherwise agreed with WKW in writing, must be carried out once a year and free of charge and must include a complete dimensional and functional test taking into account all applicable WKW specifications for geometry, material, surfaces, properties, function, etc..</p> <p>The results must be documented and made available to WKW for evaluations upon request within two working days or: sent to the respective WKW location without being requested. In case of non-compliance, a complaint (see 8.5.2) can be generated. After coordination with the respective QA of the WKW customer plant, the requalification test can be carried out for certain part families or results from current series tests can be included.</p> <p>In the event of negative test results, the supplier shall immediately inform the respective WKW customer plant, assess the risk and notify the causes of the defect and suitable remedial measures.</p>	*17 *01 *19
8.6.3	Appearance dependent products	For applicable products, reference samples have to be agreed with WKW.	*11 *01 *19 *15

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<b>8.7</b>	<b>Control of nonconforming outputs</b>	
	The supplier must inform and obtain approval from the WKW QS of the respective factory before rework, that is not planned, is carried out. The reworked products should be identified as approved with the WKW QA of the respective factory to facilitate traceability. Prior to shipment of a defective product or material by the supplier, a deviation permit approved by WKW is required.	
<b>9</b>	<b>Performance evaluation</b>	
9.1.1	General	
9.1.1.1	Monitoring and measurement of production processes	
9.1.1.2	Determination of statistical methods	
9.1.1.3	Application of basic statistical concepts	
9.1.2	Customer satisfaction	
<b>9.2</b>	<b>Internal audit</b>	
	in addition to the regulatory requirements, customer-specific audits are also required, which are sent without being requested: - annual performance of VW self-audits for scopes of supply to the VW Group - Annual performance of CQI audits if the scope of supply goes to one of the OEMs (AIAG customers) requiring CQI (e.g. GM, FORD, JLR, Tesla, VOLVO).	
9.3	Management review	
<b>10.2</b>	<b>Nonconformity and Corrective Action</b>	
	The supplier must respond using the disciplined problem solving method "Report 8D".	
	Problem solving	*11
	Costs for complaints per claim 75€. Response on working days until D3 - 24 hours or earlier, depending on situation and supply status of the respective WKW location or according to handed over OEM demand. The actual labour and administration costs incurred are based on the actual expenditure and services of the respective WKW location.	
10.2.5	Warranty Management - System	*13 *11
	At WKW.group, only an identity or quantity plausibility check and a check for transport damage on the packaging of the delivered products take place as standard. Insofar as this is feasible in the ordinary course of business, WKW shall either inspect the assemblies manufactured using deliveries before the start of the next production stage or subject the finished product manufactured using the assembly to an inspection (e.g. by product audit). There are no further inspection obligations on the part of WKW.group pursuant to §§ 377 of the German Commercial Code. WKW.group shall notify the Supplier immediately of any defects in a delivery as soon as they have been detected in the ordinary course of business. In all other respects, the Supplier waives the objection of delayed notification of defects insofar as there is no obvious defect.	
10.2.6	Customer complaint and damaged part analysis for field failures	*11 *16 / *17
	The Supplier acknowledges and agrees that WKW has to enter into very long warranty periods vis-à-vis its customers. For this reason, the supplier agrees, to the extent permitted by law and unless otherwise agreed in the purchase contract or other contractual terms, that the warranty period for the products supplied by it shall correspond to the period for which WKW is obliged to provide a warranty to the customer. Defective parts which have been sent to WKW by the OEM and whose potential causes could be found in the supplier parts of the WKW supplier are forwarded by WKW to its contractor for the purpose of defective part analysis. The analysis is carried out at least in accordance with the VDA volume "Defective part analysis field" in its latest version or in accordance with the corresponding customer requirement. In this case, the customer-specific analysis requirement specified by the OEM concerned shall apply. The costs for the analysis as well as for the transport of the parts shall be borne by the supplier. When returning the rejected components, WKW will provide the supplier with at least the following additional information (such as, among others, part numbers of the components; finding designation/number; chassis numbers, mileage, date of first registration and date of repair of the vehicles, if provided by the OEM. If available, WKW shall provide its contractor with additional information.	
	The feedback of the analysis results must take place in the following time frame and scope: ≤ 24 hours: Immediate measures are to be identified and implemented. ≤ 48 hours: short-term measures are to be initiated and implemented. ≤ 5 working days: evidence of the effectiveness of the short-term measures must be provided. ≤ 10 working days: long-term measures are to be submitted and initiated. If the feedback of the analysis result does not take place within the previously agreed time, the complaint shall be deemed to have been accepted by the supplier. In individual cases, the supplier may obtain an extension of the feedback deadlines from WKW. If necessary, the contractual partners may conduct a joint analysis of damaged parts (damaged parts table). On the basis of the joint analysis result, the responsibility and thus the costs are divided according to the originator.  The contractor shall store the analysed parts for at least 8 weeks after notification of the findings. The storage must be carried out in such a way that the result of the findings can be traced back to the component.	

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<b>10.3</b>	<b>Continuous Improvement</b>		
<b>Additional demands from:</b>			
	Customer-specific requirements (CSR)	With each accepted order, the supplier must implement the customer-specific requirements of the respective WKW customer for which the delivered material or part is required. The currently valid version of the customer rules and regulations applies in each case. An overview of some customer-specific requirements with relevance for WKW suppliers can be found on the <a href="https://www.wkw.de/en/purchasing/purchasing-downloads/inquiry-documents">https://www.wkw.de/en/purchasing/purchasing-downloads/inquiry-documents</a>	*19
	ISO 14001 / EMAS Environmental Management	Certification according to ISO 14001 / EMAS are taken into account in the supplier evaluation.	*02
	Energy management ISO 50001 / EMAS / DIN EN 16247-1 SMEs according to Annex 2 of the SpaEfV.	Certification in accordance with ISO 50001 / EMAS or DIN EN 16247-1. For small and medium-sized enterprises, evidence 1449 of the SpaEfV is recognised. Certifications are taken into account in the supplier evaluation.	*03
	Occupational health and safety management system (OH&S) ISO 45001	ISO 45001 certification is desirable and positively influences the supplier-customer relationship.	*04
	Prohibition of substances	All substance bans, restrictions and limit values due to legal requirements must be complied with. This refers to the legal requirements of the country in which the supplier is based and the country in which the WKW plant received is located. All delivered materials (purchased parts or assemblies, auxiliary and operating materials, chemicals, packaging material) must comply with the REACH regulation, GADSL, RoHS, radiation protection regulations, California Proposition-65.	*14
	Legal Requirements on Conflict Minerals	WKW raises its expectations regarding responsible handling of contact minerals (tin, tungsten, tantalum, gold (3TG) and cobalt) along its supply chains. The supplier, including its sub-suppliers, reports annually to the Central Supplier Management Department using standardised forms. Freely available forms (Conflict Minerals Reporting Template - CMRT and Cobalt Reporting Template - CRT) can be found on the website of the Responsible Minerals Initiative (RMI).  <a href="http://www.responsiblemineralsinitiative.org/reporting-templates/cmrt/">http://www.responsiblemineralsinitiative.org/reporting-templates/cmrt/</a> <a href="https://www.responsiblemineralsinitiative.org/reporting-templates/cobalt-reporting-template/">https://www.responsiblemineralsinitiative.org/reporting-templates/cobalt-reporting-template/</a>	*09
	Appointment of a Product Safety & Conformity Representative (PSCR) (independent of OEM requirements)	Contact person in case of problems: The corresponding contact data and the evidence of training of the PSB/PSCR are to be transmitted to the central supplier management department without being requested and entered in the WKW supplier portal (JAGGAER).	*18 *01
	Verification for special processes according to AIAG standard for robust process control. (according to OEM specifications): CQI - 8 Layered Process Audit Guideline CQI - 9 Heat Treat System Assessment CQI - 11 Plating System Assessment CQI - 12 Coating System Assessment CQI - 15 Welding System Assessment CQI - 17 Soldering System Assessment CQI - 18 Effective Error Proofing CQI - 19 Sub Tier Supplier Management Process Guideline CQI - 20 Effective Problem Solving Guide CQI - 23 Molding System Assessment CQI - 27 Casting System Assessment	Verification of an annual internal audit of these processes, which is sent to the respective WKW location without being requested. -> A complaint (see 8.5.2) is generated in the event of non-compliance. Requirements are defined via applicable specifications (such as drawings, requirement specifications, QVP agreements, etc.).	*19 *10



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Literature references:  
 ISO 9001, IATF 16949, the VDA publication series "Quality Management in the Automotive Industry" as well as the AIAG with its reference manuals can be used for more in-depth study of the individual points:  
 IATF 16949 / VDA publications: Verband der Automobilindustrie e.V.. (VDA), Berlin  
 AIAG publications and standards: Beuth-Verlag; Berlin

**Notes and references.**

\*01 - CSR: Customer Specific Requirements - IATF OEM members. The respective current customer-specific requirements are available at: <https://www.iatfglobaloversight.org/oem-requirements/customer-specific-requirements/>. Product-specific requirements are defined via applicable specifications (such as drawings, requirement specifications, QVP agreements, ...).

- \*02 - ISO 14001 / EMAS
  - \*03 - ISO 50001 / EMAS / DIN EN 16247-1 SMEs according to Annex 2 of the SpaEFV
  - \*04 - ISO 45001
  - \*05 - IMDS (International MaterialDataSystem) - Guideline 001 - [www.mdssystem.com](http://www.mdssystem.com)
  - \*06 - Global Automotive Declarable Substance List (GADSL) – [www.gadsl.org](http://www.gadsl.org)
  - \*07 - REACH (Registration, Evaluation and Authorization of Chemicals) - EU-Verordnung 1907/2006 - [www.echa.europa.eu/web/guest/regulations/reach/legislation](http://www.echa.europa.eu/web/guest/regulations/reach/legislation)
  - \*08 - SVHC (Substances of Very High Concern) - [www.echa.europa.eu/substances-of-very-high-concern-identification](http://www.echa.europa.eu/substances-of-very-high-concern-identification)
  - \*09 - Conflict Minerals - US Dodd-Frank Act of 2010 - [www.sec.gov/spotlight/dodd-frank.shtml](http://www.sec.gov/spotlight/dodd-frank.shtml).  
 - Regulation (EU) 2017/821 of the European Parliament and of the Council of 17 May 2017
  - \*10 - AIAG - CQI Requirements - [www.AIAG.org](http://www.AIAG.org)
  - \*11 - VDA - Volumes from the German Association of the Automotive Industry - [www.vda-qmc.de/downloads](http://www.vda-qmc.de/downloads)
  - \*12 - § 10 Electricity Tax Act - [www.gesetze-im-internet.de/stromstg/\\_10.html](http://www.gesetze-im-internet.de/stromstg/_10.html)
  - \*13 - Product Liability Act (Produkthaftungsgesetz - ProdHaftG) - [www.gesetze-im-internet.de/prodhaftg/](http://www.gesetze-im-internet.de/prodhaftg/)
  - \*14 GADSL (Global Automotive Declarable Substance List) - [www.gadsl.org](http://www.gadsl.org)
- If the content of this German version can be interpreted differently, the original version shall prevail.

**Form reference:**

- \*15 - FB 4.3.2-001 Customer-specific requirements Automotive
- \*16 - FB 8.4-007 Supply agreement subcontracting / external processing
- \*17 - FB 8.4-008 Supply agreement for purchased parts
- \*18 - FB 8.4.1.2-001 Short questionnaire for self-assessment of the supplier or in the supplier portal (JAGGAER)
- \*19 - FB 8.4.3.1-001 Checklist supplier activities
- \*20 - FB 07-17 Tool transfer agreement
- \*21 - FB 11-27 Suppliers Manufacturability and feasibility analysis
- \*22 - FB 8.5.6-003 Trigger matrix

Company:  
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This PB 8.4.2.3-001 (QMR01) applies to all suppliers delivering to WKW.automotive and to all production materials (purchased parts, raw materials, semi-finished products) and subcontracted/external processing delivered to WKW.automotive. This applies in conjunction with the respective current WKW terms and conditions of purchase.

- Classified as:
- Purchased parts (01) (with/without development)
  - Purchased parts (01) (catalogue and standard parts)
  - Raw materials (02) (19 granules)
  - Suppliers (03) (11 Metal products)
  - Semi-finished products (03) (21 non-ferrous metal strips, 22 steel strips)
  - Subcontracting/external processing (04)
  - Operating equipment (07) (30 tools and devices)
  - Supplier with special release without certification

We hereby confirm the acceptance of the Quality Management Guideline Suppliers - PB 8.4.2.3-001 (QMR01)  
 Quality references have already been submitted in the self-disclosure \*17 FB 8.4.1.2-001 or in the supplier portal  
 If "no" please attach quality references (e.g. certificate).  Yes  
 No

Comments:  
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 \_\_\_\_\_

Contact person: \_\_\_\_\_

\_\_\_\_\_ Place, date      \_\_\_\_\_ Dept., Name      \_\_\_\_\_ Signature